United Nations

A/68/163

General Assembly

Distr.: General
18 July 2013

Original: English

Sixty-eighth session
Item 133 of the preliminary list*
Financial reports and audited financial statements, and reports of the Board of Auditors

Note by the Secretary-General

The Secretary-General has the honour to transmit to the General Assembly a letter dated 30 June 2013 from the Chairman of the Board of Auditors transmitting the report of the Board on implementation of its recommendations relating to the biennium 2010-2011, submitted in accordance with General Assembly resolution 52/212 B (see annex).

* A/68/50.

13-39999 (E) 260813

Please recycle

Letter of transmittal

30 June 2013

I have the honour to transmit to you the report of the Board of Auditors on the status of implementation of its recommendations relating to the biennium 2010-2011.

(*Signed*) Amyas **Morse**
Comptroller and Auditor-General of the United Kingdom of Great Britain
and Northern Ireland
Chair, United Nations Board of Auditors

The President of the General Assembly
United Nations
New York

Contents

		Page
	Summary	4
I.	Introduction	6
	A. Mandate	6
	B. Scope and methodology	6
II.	Status of implementation of the recommendations of the Board: overall observations	7
III.	Status of implementation of the recommendations of the Board by entity	13
	A. United Nations	13
	B. International Trade Centre UNCTAD/WTO	15
	C. United Nations University	17
	D. United Nations Institute for Training and Research	18
	E. United Nations Environment Programme	18
	F. United Nations Human Settlements Programme	19
	G. United Nations Office on Drugs and Crime	21
	H. International Criminal Tribunal for Rwanda	22
	I. International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law committed in the Territory of the Former Yugoslavia since 1991	23
IV.	Acknowledgement	24
Appendices		
I.	Status of implementation as at 31 March 2013 of the recommendations for the fifteen organizations included in the previous report of the Board of Auditors for the biennium 2010-2011	25
II.	Status of implementation of the recommendations of the Board of Auditors for the biennium 2008-2009 as at 31 March 2013	26

Report of the Board of Auditors on the implementation of its recommendations relating to the biennium 2010-2011

Summary

Mandate

The present report is on the status of implementation as at 31 March 2013 of recommendations made by the Board of Auditors in its reports for the biennium 2010-2011, as approved by the General Assembly in its resolution 67/235.

Scope and methodology

The report covers the nine organizations on which the Board reports on a biennial basis to the General Assembly: the United Nations, United Nations Office on Drugs and Crime (UNODC), United Nations Environment Programme (UNEP), United Nations Human Settlements Programme (UN-Habitat), International Trade Centre (ITC), United Nations University (UNU), United Nations Institute for Training and Research (UNITAR), International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 (International Tribunal for the Former Yugoslavia) and International Criminal Tribunal for Rwanda. The report does not include organizations on which the Board reports annually because, for example, of the implementation of International Public Sector Accounting Standards (IPSAS).

The Board validated the statistics supplied by the Administration of each entity on the status of implementation of the Board's recommendations.

Overall conclusion

The Board's aim is to provide clear, objective, evidence-based and actionable recommendations that add value to management and operations.

There has been an overall reduction in the number of recommendations made by the Board to the nine organizations from 173 for 2008-2009 to 139 for 2010-2011 (20 per cent). The overall proportion of fully implemented recommendations for the nine entities was 41 per cent for 2010-2011, comparable to the implementation rate for 2008-2009 (46 per cent). A further 55 per cent of recommendations (48 per cent in 2008-2009) were under implementation, leaving 4 per cent on which management made no progress or which were overtaken by events (6 per cent in 2008-2009).

The Board considers that the nine organizations concerned have given serious consideration to the Board's recommendations and are taking concrete steps to implement them.

Recommendations under implementation

Although the overall proportion of partially implemented recommendations is high, over one third of them relate to the implementation of multi-year transformation projects, such as International Public Sector Accounting Standards (IPSAS), or the new enterprise resource planning system, Umoja. Overall, the Board is satisfied that organizations have engaged substantively with its recommendations and are tackling the issues raised appropriately.

The recommendations illustrate a number of common themes, all contributing towards more effective enterprise and programme management, specifically the need for:

- Improved governance, accountability and internal control.
- Enhanced skills in important functions such as procurement and contract management, human resource management, financial management and reporting and performance management.
- Integrated supply management to address long-standing deficiencies in procurement and asset management.
- Enhanced programme and project management.
- Enhanced financial management, in particular the role of the finance function.

I. Introduction

A. Mandate

1. In its resolution 52/212 B, the General Assembly emphasized that primary managerial responsibility and accountability for the implementation of the recommendations of the Board should remain with department heads and programme managers. The Fifth Committee of the General Assembly has also reiterated its request to the Secretary-General and the executive heads of the funds and programmes of the United Nations to ensure full implementation of the recommendations of the Board of Auditors.[1]

2. The present report relates to recommendations made by the Board in its reports for the biennium 2010-2011 and approved by the General Assembly in paragraph 2 of resolution 67/235. It reflects the status of implementation as at 31 March 2013, categorized as recommendations that are (a) implemented, (b) under implementation, (c) not implemented or (d) overtaken by events.

B. Scope and methodology

3. The report covers the nine entities[2] on which the Board still reports on a biennial basis. Where entities have implemented IPSAS, our reporting on the status of implementation of recommendations is contained in the reports on the relevant entities.[3]

4. Pursuant to General Assembly resolution 52/212 B, the Board submits every two years a report on the status of implementation of recommendations for the entities that it audits. In the year that this report is not submitted, the Board submits a report entitled "Concise summary of principal findings and conclusions for the biennium". That report also has a summary table containing statistics showing the status of implementation of recommendations. In this manner, the Board provides a statistical summary of the status of implementation of recommendations every year but a deeper qualitative analysis every second year.

5. With the implementation of IPSAS by all entities from 1 January 2014, the Board is of the opinion that instead of submitting two separate reports every other year, it would be beneficial for the General Assembly to review one report annually, which would combine the concise summary of principal findings and conclusions with a statistical and summarized qualitative analysis of the status of implementation of recommendations.

6. If the General Assembly endorses this proposal, the Board will be in a position to implement a combined report containing a concise summary of principal findings

[1] General Assembly resolution 67/235, para. 8.

[2] United Nations, UNODC, UNEP, UN-Habitat, ITC, UNU, UNITAR, International Tribunal for the Former Yugoslavia and International Criminal Tribunal for Rwanda.

[3] United Nations Development Programme (UNDP), United Nations Population Fund (UNFPA), United Nations Office for Project Services (UNOPS), United Nations Children's Fund (UNICEF), Office of the United Nations High Commissioner for Refugees (UNHCR), United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women), United Nations Joint Staff Pension Fund, United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) and United Nations Capital Development Fund.

and conclusions and the status of implementation of recommendations from 2014 onwards on an annual basis. The new report could be entitled "Concise summary of principal findings and conclusions including the status of implementation of recommendations.

7. **The Board therefore seeks General Assembly approval to cease production of the report on the status of implementation of recommendations from 2014 onwards and to provide instead an overview analysis of the implementation of recommendations in a concise annual summary report.**

8. Our audit teams have undertaken work to validate the comments put forward by the Administration on the nine organizations featured in this report. For context, a summary of the status of implementation of recommendations for the 15 organizations featured in the previous report (for the biennium 2008-2009) is included in appendix I. This includes the six organizations that now report annually and are therefore out of scope for this report.[4]

9. Whenever audit teams were present at Headquarters between 31 March 2011 and 31 May 2011, they validated the data submitted. In most other cases, if the Board determined that it would not be cost-effective to dedicate specific teams to the review and validation of the data provided, it validated the data provided by the clients through a desk review or field audit. Whenever the evidence provided did not support the assessment of the Administration, the Board reflected its own assessment in the validated data contained in this report.

II. Status of implementation of the recommendations of the Board: overall observations

The nature of audit recommendations

10. The recommendations we make draw on the professional expertise of our staff and the unique perspective we have as the external auditors of the United Nations and its funds and programmes. They highlight to management our main areas of concern, but also where we see opportunities to build on existing good practice to improve further.

11. The external auditor cannot be responsible for implementing recommendations; that is the role of management. However, we are responsible for making recommendations that are well-founded, practical and that add value to management and operations. We work with management to ensure that our concerns are understood and to point out appropriate good practice, using examples from our wider experience to help management explore options and decide how they will respond. The Board takes these responsibilities seriously, not least because an assessment of the implementation of our recommendations features in the compacts of senior managers.

12. We cease carrying forward recommendations when there is clear evidence of full implementation, or management are able to demonstrate: (a) that the recommendations have been considered but have been overtaken by events; (b) that the benefits of implementation would not justify the use of scarce resources; or

[4] UNDP, UNICEF, UNRWA, UNFPA, United Nations Joint Staff Pension Fund and UNOPS.

(c) where new evidence emerges that justifies reconsideration of the original rationale for the recommendation. We are also duty bound to reiterate recommendations which address multi-year or long-standing issues.

13. The strategic nature of some recommendations means they may take years to fully implement as they are reliant on the implementation of a multi-year business transformation programme. For example, 23 of the 139 recommendations (17 per cent) are reliant on the successful adoption of IPSAS. Others are reliant on implementation of the United Nations new enterprise resource planning system, Umoja. We also acknowledge that under existing governance and accountability structures, some recommendations may be difficult for management to implement, or even to assign ownership for their implementation, but it remains our role to highlight these issues if they constitute clear risks to, or opportunities for, the organization.

Number of recommendations

14. There has been an overall reduction in the number of recommendations made by the Board to the nine organizations — from 173 for the biennium 2008-2009 to 139 for 2010-2011 (20 per cent).[5] A decreasing number of recommendations is not a reflection of the Board's opinion on whether management control is improving or not. Nor does an analysis of the number of recommendations take account of the relative importance of individual recommendations and the management effort it would take to implement them. It does reflect an ongoing commitment of the Board to highlight only the more important and strategic recommendations in its reports. The Board continues to provide detailed recommendations in management letters to the individual sites we visit as part of our audit programme.

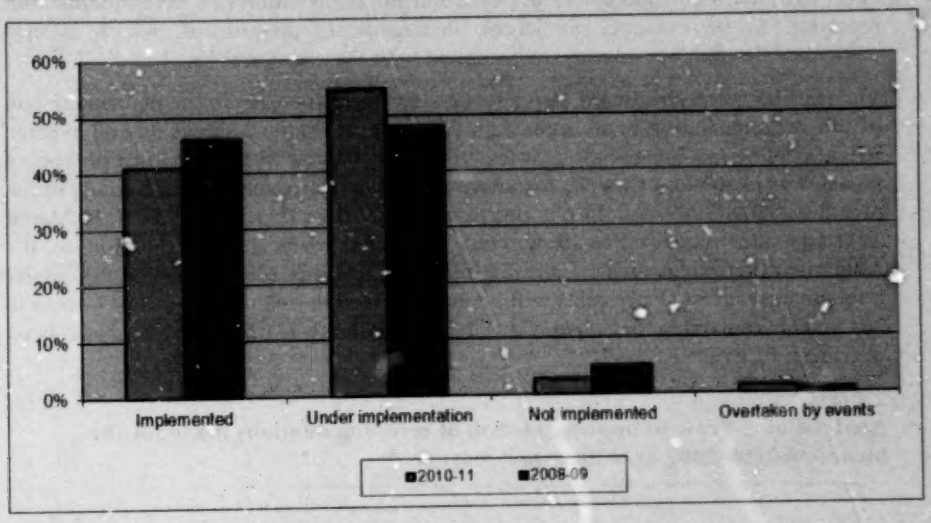
Overall status of implementation of recommendations

15. The figure below shows the overall status of implementation as at 31 March 2013 for recommendations made in the biennium 2010-2011 and the comparative result for 2008-2009. The overall proportion of fully implemented recommendations for the nine entities was 41 per cent for 2010-2011, broadly comparable to the implementation rate for 2008-2009 (46 per cent).[6] A further 55 per cent of recommendations (48 per cent for 2008-2009) were under implementation, leaving 4 per cent on which management had made no progress or which were overtaken by events. Further detail on the status of implementation by entity is set out in table 1.

[5] If the same 15 organizations reported on in the 2008-2009 biennium had been included in this report, the percentage reduction in recommendations would have been even greater, from 590 to 318 (46 per cent) compared to the previous biennium (see annex I).

[6] If the same 15 organizations reported on in the 2008-2009 biennium had been included in this report, the distribution would have shown a slight increase in recommendations that have been implemented (47 per cent from 46 per cent in 2008-2009).

Comparison of the overall status of implementation of the recommendations of the Board between the bienniums 2010-2011 and 2008-2009



Note 1: Status as at 31 March 2011 and 31 March 2013.

Table 1
Status of implementation as at 31 March 2013 of the recommendations of the Board of Auditors for the biennium 2010-2011

Organization	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
United Nations Secretariat	32	13	41	19	59	–	–	–	–
International Trade Centre UNCTAD/WTO	20	3	15	17	85	–	–	–	–
United Nations University	8	2	25	6	75	–	–	–	–
United Nations Institute for Training and Research	3	1	33	1	34	1	33	–	–
United Nations Environment Programme	16	7	44	9	56	–	–	–	–
United Nations Human Settlements Programme	16	9	56	4	25	2	13	1	6
United Nations Office on Drugs and Crime	28	11	39	15	53	1	4	1	4
International Criminal Tribunal for Rwanda	10	7	70	3	30	–	–	–	–
International Tribunal for the Former Yugoslavia	6	4	67	2	33	–	–	–	–
Total	**139**	**57**	**41**	**76**	**55**	**4**	**3**	**2**	**1**
2008-2009	**590**	**272**	**46**	**283**	**48**	**32**	**5**	**3**	**1**
2006-2007	**507**	**238**	**47**	**237**	**46**	**19**	**4**	**13**	**3**

Implemented recommendations

16. The Board considers a 41 per cent full implementation rate nine months after reporting to be evidence of strong management commitment, which is also confirmed through our ongoing engagement with the client entities.

17. Furthermore, the Board also notes a significant increase in the percentage rate of full implementation in all organizations over time. Table 2 shows that on average 82 per cent of recommendations were fully implemented 33 months after first being raised. For example, of the 72 recommendations made to the United Nations in the biennium 2008-2009, the 40 per cent implementation rate reported as at 31 March 2011 has since increased to 79 per cent just under two years later. In addition, the Administration states that of the 14 recommendations (19 per cent) still under implementation, 8 (11 per cent) will be implemented during the roll-out of Umoja in 2015. The remaining 5 (7 per cent) recommendations are agreed to have been overtaken by events.

Table 2
Analysis of the rate of implementation of recommendations made for the biennium 2008-2009 over time (per cent)

Organization	*After nine months as at 31 March 2011 (A/66/139)*	*After 21 months as at 31 March 2012 (A/67/173)*	*After 33 months as at 31 March 2013*
United Nations Secretariat	40	60	79
International Trade Centre UNCTAD/WTO	11	33	50
United Nations University	25	53	59
United Nations Institute for Training and Research	60	60	100
United Nations Environment Programme	38	62	95
United Nations Human Settlements Programme	53	55	86
United Nations Office on Drugs and Crime	7	33	73
International Criminal Tribunal for Rwanda	32	86	100
International Tribunal for the Former Yugoslavia	64	90	100
Average implementation rate	**37**	**59**	**82**

Note 1: Board analysis of 2008-2009 recommendations.

Recommendations under implementation

18. The number of recommendations for the biennium 2010-2011 which are under implementation has increased to 55 per cent from the 48 per cent reported in the previous biennium. Of these 74 recommendations, 23 will be addressed through the implementation of IPSAS.

19. Additionally, 42 recommendations (30 per cent) have multiple elements to them, reflecting, for example, the need not only to improve information but then to use that information to drive further improvements. We see that in the majority of cases, parts of these recommendations have been addressed by the organizations

concerned, but the full recommendation cannot be judged as implemented until all parts of the recommendation have been addressed. This impacts on some organizations more than others, for instance where in two cases almost half the recommendations made by the Board had multiple parts to them.

Recommendations not implemented

20. As at 31 March 2011, 3 per cent of recommendations had not been implemented (5 per cent in 2008-2009). The reasons for non-implementation vary and are commented upon at entity level in section III below. Some reasons for non-implementation are valid. Some entities have not yet begun the process of implementation. In some cases, action has been taken but it does not address the fundamental points raised in the recommendation. A further 1 per cent of recommendations have been overtaken by events. Again, the Board has not identified any systemic concerns.

Emerging themes

21. The Board has consistently maintained that because our recommendations cover a wide range of topics and reflect differing assessments of risk and differing extents and intensity of coverage at different entities across time, an analysis of numerical trends needs to be augmented by a more qualitative analysis. Conscious of Fifth Committee interest in the scope for further insights in this regard, a high-level analysis identified the following five themes.

22. **The need to improve governance, accountability and internal control.** The Board continues to make recommendations to tackle non-compliance at transactional levels, but also to highlight the absence or need for enhanced higher level controls such as performance and financial reporting to senior management. The Board often also comments on breaches or lack of clarity over delegations of authority, particularly in entities with globally dispersed operations; deficiencies in asset control; the absence of structured approaches to risk management from projects through to the entire organization; and the need to enhance the clarity and operation of accountability and reporting lines. These findings are also mirrored in our annual reports.

23. While local action is often taken, the Board considers that more concerted action is needed by entities to holistically assess their systems and frameworks of governance, accountability and internal control and re-examine whether they are appropriate and fit for purpose, well understood and operating as designed. Organizations with effective systems of governance and accountability can better hold to account those making decisions on the use of scarce resources. A well-defined system of internal control ensures controls are proportionate and fit for purpose and reduces the risk of fraud and error or of increased costs associated with controls that provide little or no assurance.

24. **The need for enhanced skills in important functions.** The Board continues to make recommendations to at least four organizations in the following areas: procurement and contract management, human resource management, financial management and reporting and performance management. Many of the recommendations address concerns beyond simple non-compliance and indicate the need for enhanced professionalism and skills in these vital functions. This would provide (a) a greater ability to develop a more strategic overview of the challenges

facing the organization as a whole and (b) an increased focus on adding value to service delivery, performing more of an advisory role and less of an administrative and processing role.

25. **The need for integrated supply management.** We made recommendations to five of the nine organizations on improving both asset management and procurement and in many instances these are recurring recommendations. Many of the concerns leading to such recommendations reflect the lack of an integrated approach to the planning and delivery of procurement, linked to reliable and timely information on the assets already available in the field or in warehouses. The Board considers that there is a need to think about the scope to adopt modern integrated supply management supported by improved information. This issue is also strongly reflected in many of the annual reports the Board produces, for example on peacekeeping operations and the Office of the United Nations High Commissioner for Refugees. The Board has consistently highlighted the need to use the new information produced under IPSAS and to enhance enterprise resource planning systems, so as to tackle this issue in a more holistic way. Integrated supply management, based on good information and professional skills, provides an organization with the ability to procure only what is needed when it is needed and to have greater confidence in its ability to deliver and store the items cost-effectively.

26. **The need for enhanced programme and project management.** The Board continues to note deficiencies in (a) how programme and project accomplishments and performance indicators are defined and linked to the strategic objectives of entities; (b) the monitoring of project execution, costs and progress (indicating weaknesses and challenges in implementing effective project management systems); and (c) the reporting of performance to management and stakeholders. Well-run programmes and projects minimize the risk of cost and time overruns and are more likely to result in the outcomes or improvements they were designed to deliver.

27. **The need for enhanced financial management.** The Board continues to make a range of recommendations on the need for improved budget formulation, better monitoring of spending, strengthened processes for the preparation of financial statements and a range of other issues requiring a stronger grip by the finance functions of entities (such as cash management). The Board has also consistently highlighted the need for enhanced skills in finance functions, both to implement IPSAS and manage the subsequent new information and processes. Overall, this indicates a need for finance functions that are less focused on budgets, transactional levels of control and accounting and more able to provide greater oversight, challenge and support to the organizations. In essence, the Board considers there is scope to enhance the role of the finance functions to tackle the root causes of many of the Board's recommendations in a sustainable manner. This is important at a time of continuing fiscal constraint, as it enables more effective decision-making on where to deploy resources and reduce costs and helps to better manage financial risks and exposure, in particular where entities are reliant on voluntary funding.

Implementing partners

28. The Board has, through its recommendations, highlighted weaknesses in the control and management of implementing partners, as well as the associated increased risks of fraud, error and poor value for money. We recognize the need to work with partners and that this is inherently risky, given the operating

environments for many entities, and increasingly so where we see inconsistent practices and continued examples of weak control in design or implementation. The Board has long considered this an area of high risk when planning and performing its external audits. We think there is significant scope for management to improve its control and oversight of the use of implementing partners, to enhance its fraud risk assessments and for more coordinated action and sharing of practices and information across entities. This is a major transversal area of focus for the Board in the biennium 2012-2013.

III. Status of implementation of the recommendations of the Board by entity

A. United Nations

29. Of the 32 recommendations made by the Board and accepted by the Administration with respect to the accounts of the United Nations for the biennium 2010-2011 (72 recommendations in 2008-2009), the United Nations had implemented 13 (41 per cent) and 19 (59 per cent) were under implementation. The rate of implementation in the biennium 2010-2011 (41 per cent) is broadly similar to 2008-2009 (40 per cent), which was itself a significant improvement on the previous biennium 2006-2007 (27 per cent). As shown in table 3, six of the recommendations still under implementation had multiple parts, with the Administration providing sufficient evidence to satisfy most of the parts of the recommendation but not all.

Table 3
Status of implementation of the recommendations of the Board of Auditors for the United Nations for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Presentation and disclosure of financial statements	2	1	50	1	50	–	–	–	–
Statement of income and expenditure	1	1	100	–	–	–	–	–	–
Progress made towards implementation of IPSAS	2	–	–	2	100	–	–	–	–
Results-based management/ budgeting	2	1	50	1	50	–	–	–	–
Treasury management	2	2	100	–	–	–	–	–	–
Procurement and contract management	8	2	25	6	75	–	–	–	–
Human resources management	2	1	50	1	50	–	–	–	–
Internal audit	2	2	100	–	–	–	–	–	–
Inventory management	2	2	100	–	–	–	–	–	–
Risk management	2	–	–	2	100	–	–	–	–
Internal control	2	1	50	1	50	–	–	–	–
Implementing partners	3	–	–	3	100	–	–	–	–

Area	Number of recommendations	Implemented		Under implementation		Not implemented		Overtaken by events	
		Number	Percentage	Number	Percentage	Number	Percentage	Number	Percentage
Business transformation	2	–	–	2	100	–	–	–	–
Total	**32**	**13**	**41**	**19**	**59**	**–**	**–**	**–**	**–**
2008-2009	**72**	**29**	**40**	**37**	**51**	**4**	**6**	**2**	**3**

30. The strategic nature of some recommendations, for example the implementation of enterprise risk management, involves fundamental reforms of the management system of the United Nations and it is therefore entirely appropriate that they may take years to fully implement. The Board considers that the rate of implementation at this point in the biennium represents good progress.

31. The Board views some disagreements with the Administration on what is possible as inevitable and considers it essential to maintain an ongoing dialogue around those recommendations that are not accepted. For example, 6 of the 32 recommendations judged as either implemented or under implementation were initially not fully accepted by the Administration.

32. For the biennium 2010-2011, the Administration did not accept eight recommendations, compared to four in the previous biennium. The reasoning of the Administration and the Board's response are noted in the financial report and audited financial statements for the biennium ended 31 December 2011 and report of the Board of Auditors (A/67/5 (Vol. I)). We consider these recommendations closed but plan to review whether the underlying issues we identified are still present during future audits and make new recommendations if necessary.

33. For example, one recommendation that was not accepted relates to the Administration enhancing its internal documentation on the preparation of financial statements prior to the implementation of Umoja. The Administration stated that due to the adoption of IPSAS and the implementation of Umoja, it did not see the need to devote any resources to developing further guidance under the United Nations system accounting standards. We accept this position, but during our next audit we will revisit our underlying concern that the Administration is reliant on the knowledge of a few experienced staff members rather than a well-documented set of guidelines.

34. We acknowledge that some recommendations may be difficult for the Administration to implement across an organization as varied as the United Nations, or even to assign ownership for implementation under existing governance and accountability structures. Five of the eight recommendations not accepted in the 2010-2011 biennium, plus seven judged as being under implementation fall into this category. However, we believe it is our role to highlight issues which may fall between the current organizational structures of the United Nations.

35. In particular, three recommendations which were not accepted relate to procurement and contract management: (a) clarifying the responsibilities of contract managers with regard to risk management; (b) establishing oversight of the risk profile of the population of contracts; and (c) establishing clear escalation processes with senior management for significant contract risks. The Administration commented that for the first recommendation, the responsibilities are already clearly

stated in the procurement manual and the other two recommendations were the responsibility of the requisitioning department. The Board accepts that current accountability and governance structures may make it difficult for central functions to impose consistent ways of working. However, we consider that a modern procurement function needs not just to set policy, but also enforce compliance with policy and promote consistent ways of working across the United Nations. We also consider that the real commercial and reputational risks associated with major contracts do need to be gripped centrally by management and not simply left to requisitioning departments or offices.

36. Two of the recommendations that were not accepted relate to the investigative functions of the Office of Internal Oversight Services (OIOS), specifically (a) a cost-benefit analysis of the total cost of investigations to the United Nations as a whole, not just OIOS, and (b) taking into account the investigative capacity of other bodies. OIOS agreed with the recommendations, performed the cost-benefit analysis but stated that it did not have the mandate to look at investigative capacity in the wider United Nations. We accept this is the case and that the pilot of reallocation of investigative resources is complete. Therefore our recommendations are closed. We do, however, consider that our fundamental concern — the lack of a holistic understanding of the investigative capacity within the wider United Nations — is still valid if the Administration is to develop an effective overall system of internal investigations.

37. The final two recommendations that were not accepted by the Administration relate to presenting the General Assembly with proposals to simplify the programme planning process and the inclusion of an executive summary in the programme performance report to provide a concise summary of the key issues. We respect the position of the Administration on both these issues, but consider that they are still valid issues to raise.

B. International Trade Centre UNCTAD/WTO

38. Of the 20 recommendations made by the Board with respect to the accounts of ITC for the biennium 2010-2011 (9 recommendations for 2008-2009), ITC had implemented 3 recommendations (15 per cent) and 17 (85 per cent) were under implementation, as shown in table 4.

Table 4
Status of implementation of the recommendations of the Board for the International Trade Centre UNCTAD/WTO for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Financial statements	3	–	–	3	100	–	–	–	–
Examination of management issues	12	3	25	9	75	–	–	–	–
Progress made towards the implementation of IPSAS	5	–	–	5	100	–	–	–	–
Total	**20**	**3**	**15**	**17**	**85**	–	–	–	–
2008-2009	**9**	**1**	**11**	**8**	**89**	–	–	–	–

39. Table 4 shows that the implementation rate of 15 per cent for the biennium 2010-2011 represented an increase compared to 2008-2009 (11 per cent). The Board is encouraged by this trend. However this is partly due to the superseding of 2008-2009 recommendations in the biennium 2010-2011. Full implementation of some recommendations is in part contingent upon wider change programmes within the United Nations, specifically the global implementation of IPSAS and the completion of Umoja. The Board also notes that 3 of the 17 recommendations under implementation have multiple elements, the majority of which have been addressed by the organization, but the full recommendation cannot be judged as implemented until all parts of the recommendation have been addressed.

40. The increase in the number of recommendations for the biennium 2010-2011 represents the result of an initial review of management processes resulting in 12 recommendations (60 per cent) of the total 20 in 2010-2011. There are no such recommendations for comparison in the biennium 2008-2009.

41. The Board is encouraged that 100 per cent of recommendations are either implemented or under implementation with some beneficial changes. For example, the Board had recommended that ITC scrutinize any significant changes in key project management documentation (such as alterations to budgets, scope and outputs) during the implementation and monitoring phase through evidenced review by at least one of the following: senior management, quality reviewers or a project sponsor.

42. In response, ITC has introduced new procedures for managing changes to projects during the implementation phase. Projects that need to have significant changes to scope, budget or duration now have to get detailed approval by appropriately structured tiers of delegation from the Senior Management Committee down. The Board notes the implementation of new change control documentation and procedures which should in principle prevent unauthorized slippage on cost and time. The lack of such formal controls was a serious weakness of the previous arrangements and the new procedures represent a useful step forward.

43. The Board had also recommended that ITC project managers and reviewers from the Project Quality Assurance Group specifically consider whether:

(a) Risk has been adequately assessed, including whether its impact has been quantified in monetary terms;

(b) How far identified risks are addressed by mitigation/contingency arrangements;

(c) Clear responsibility and accountability for managing the identified risk has been allocated.

44. ITC has reported that risks are a key feature of its new project design process and scrutinized by layers of quality assurance processes to ensure that they are proportionate, realistic and have mitigating actions to decrease their severity to acceptable levels. The Board notes that risk templates are implemented as part of project plans and are covered by training and should therefore provide better visibility of risks and mitigation arrangements than before. One further enhancement for ITC to consider going forward, in the light of experience with its new system, would be to grade risks after mitigation, to show residual risk still more clearly.

C. United Nations University

45. Of the eight recommendations made by the Board with respect to the accounts of UNU for the biennium 2010-2011 (16 in 2008-2009), UNU had implemented two (25 per cent), and six (75 per cent) were under implementation, as shown in table 5.

Table 5
Status of implementation of the recommendations of the Board for the United Nations University for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Finance management	1	1	100	–	–	–	–	–	–
Programme and project management	1	–	–	1	100	–	–	–	–
Human resources management	2	1	50	1	50	–	–	–	–
Procurement and contracts management	2	–	–	2	100	–	–	–	–
Progress made towards the implementation of IPSAS	2	–	–	2	100	–	–	–	–
Total	**8**	**2**	**25**	**6**	**75**	–	–	–	–
2008-2009	**16**	**4**	**25**	**9**	**56**	**3**	**19**	–	–

46. Of the six recommendations for 2010-2011 which were under implementation, two have a target implementation date before October 2013, when the Board will provide a further update in its audit report for the biennium 2012-2013. If implemented on target, the implementation rate will rise to 50 per cent.

47. The full implementation of two (33 per cent) of the six recommendations for 2010-2011 which were under implementation is contingent upon the finalization of wider policy and change management programmes within the United Nations, specifically the implementation of IPSAS and the modification of the Atlas enterprise resource planning system to be IPSAS compliant.

48. One recommendation currently under implementation relates to developing a funding plan for end-of-service liabilities for consideration and approval by the UNU Council (2008-2009). The end-of-service and post-retirement liabilities of UNU amounted to $10.7 million as at 31 December 2012 and are not funded. The Administration holds the view that the continuation of the "pay as you go" approach for this liability is unsustainable and there is a need to introduce a funding mechanism to address the situation. A recommendation will be made to the UNU Council in November 2013 to finance this liability through a charge on salary costs, effective 1 January 2014.

D. United Nations Institute for Training and Research

49. Of the three recommendations made by the Board with respect to the accounts of UNITAR for the biennium 2010-2011, one (33.3 per cent) was fully implemented, one (33.3 per cent) was under implementation, and one (33.3 per cent) was not implemented. The status of implementation of the Board's recommendations presented below in table 6 was validated by the Board.

Table 6
Status of implementation of the recommendations of the Board for the United Nations Institute for Training and Research for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Financial reporting	2	1	50	–	–	1	50	–	–
IPSAS adoption	1	–	–	1	100	–	–	–	–
Total	**3**	**1**	**33.3**	**1**	**33.3**	**1**	**33.3**	**–**	**–**
2008-2009	**5**	**3**	**60**	**2**	**40**	**–**	**–**	**–**	**–**

50. The recommendation which was fully implemented relates to a clear articulation of the definition, scope and percentage of programme support costs and administrative costs, in order to increase the transparency and comprehensibility of the financial statements. The management of UNITAR has issued an administrative circular on new cost-recovery methods to help to clarify this.

51. The recommendation which was partially implemented relates to intensifying efforts to ensure the timely implementation of IPSAS.

52. The recommendation currently not implemented relates to the disclosure of information about programme support income, including the definition, scope and calculation methodology in the notes to the financial statements. The management of UNITAR stated that United Nations Headquarters is responsible for preparing the financial statements and the related footnotes of UNITAR and following consultation, Headquarters has indicated that the audit recommendation should not be accepted. We will follow up on this recommendation as part of our next audit.

E. United Nations Environment Programme

53. Of the 16 recommendations made by the Board with respect to the accounts of UNEP for the biennium 2010-2011, seven (44 per cent) have been implemented, while nine recommendations (56 per cent) were under implementation, as shown in table 7. The rate of implementation in the biennium 2010-2011 (44 per cent) has increased compared to 2008-2009 (38 per cent).

Table 7
Status of implementation of the recommendations of the Board for the United Nations Environment Programme for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Financial management and reporting	6	2	33	4	67	–	–	–	–
Regular expenditure through partners	1	–		1	100	–	–	–	–
Asset management	1	–	–	1	100	–	–	–	–
Risk management	1	–	–	1	100	–	–	–	–
Procurement management	1	–	–	1	100	–	–	–	–
IPSAS implementation project	2	2	100	–	–	–	–	–	–
Performance and reporting system	4	3	75	1	25	–	–	–	–
Total	**16**	**7**	**44**	**9**	**56**	**–**	**–**	**–**	**–**
2008-2009	**26**	**10**	**38**	**13**	**50**	**3**	**12**	**–**	**–**

F. United Nations Human Settlements Programme

54. Of the 16 recommendations made by the Board for the biennium 2010-2011, UN-Habitat has implemented nine (56 per cent), four (25 per cent) were under implementation, two (13 per cent) were not implemented, and one (6 per cent) was overtaken by events (see table 8). The rate of implementation in the biennium 2010-2011 (56 per cent) remained broadly similar to 2008-2009 (53 per cent).

55. The recommendation that was overtaken by events was a requirement for UN-Habitat to request that the United Nations Office at Nairobi enhance the disclosures within its future financial statements by inserting a footnote to statement I stating the value of negative entries caused by the cancellation of obligations created in previous periods for the projects that remain ongoing. This recommendation was not accepted by the Office at Nairobi and will be implemented through the adoption of IPSAS.

Table 8
Status of implementation of the recommendations of the Board for the United Nations Human Settlements Programme for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Financial management	1	–	–	1	100	–	–	–	–
Statement of income and expenditure	1	–	–	–	–	–	–	1	100
Liabilities: end of service liabilities	1	–	–	–	–	1	100	–	–
Assets: unsupported bank balances	1	–	–	1	100	–	–	–	–
Non-expendable assets	1	1	100	–	–	–	–	–	–
Risk management	1	–	–	1	100	–	–	–	–
Procurement	1	1	100	–	–	–	–	–	–
Progress made towards the implementation of IPSAS	2	2	100	–	–	–	–	–	–
Programme development and performance reporting	7	5	71	1	15	1	14	–	–
Total	**16**	**9**	**56**	**4**	**25**	**2**	**13**	**1**	**6**
2008-2009	**19**	**10**	**53**	**7**	**37**	**2**	**10**	**–**	**–**

56. Of the two recommendations not implemented, the first is the requirement for UN-Habitat to set up specific arrangements to fund its liabilities for end-of-service and post-retirement benefits, for consideration and approval by its Governing Council and the General Assembly. This was also the Board's recommendation for the biennium 2008-2009, which has not yet been implemented and was therefore reiterated for the biennium 2010-2011. UN-Habitat states that it is seeking guidance from United Nations Headquarters and, depending upon the advice received, it may seek the relevant authorization of the General Assembly and its Governing Council. This remains outstanding as there has been no clear guidance issued as yet.

57. The second recommendation that is judged not yet implemented relates to programme development and performance reporting. The Board recommended that UN-Habitat senior management regularly review, at least every six months, performance and progress against the biennial work programme and budget, documenting the review and any actions to be taken. UN-Habitat stated that they have made progress on the recommendation and that improvements have been made to the collection of performance evidence which are now being included in the Integrated Monitoring and Document Information System (IMDIS); and senior management have committed to review performance and progress against the biennial work programme and budget. While the Board welcomes this, we could not establish any supporting evidence and will revisit this recommendation in future audits.

G. United Nations Office on Drugs and Crime

58. Of the 28 recommendations made by the Board with respect to the accounts of UNODC for the biennium 2010-2011, 11 (39 per cent) were fully implemented, 15 (53 per cent) were under implementation, one (4 per cent) was not implemented and one (4 per cent) was overtaken by events, as shown in table 9. For 2008-2009, there were 6 outstanding recommendations, of which 2 were implemented in 2012 and the remaining 4 are related to IPSAS and are being implemented on an ongoing basis.

Table 9
Status of implementation of the recommendations of the Board for the United Nations Office on Drugs and Crime for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Financial overview and financial management	11	8	73	2	18	1	9	–	–
End-of-service liability	1	1	100	–	–	–	–	–	–
Asset management	4	1	25	3	75	–	–	–	–
Procurement	2	–	–	2	100	–	–	–	–
Progress made towards the implementation of IPSAS	1	1	100	–	–	–	–	–	–
Strategic planning and budgeting	2	–	–	1	50	–	–	1	50
Performance reporting and management	7	–	–	7	100	–	–	–	–
Total	**28**	**11**	**39**	**15**	**53**	**1**	**4**	**1**	**4**
2008-2009	**15**	**1**	**7**	**9**	**60**	**5**	**33**	–	–

59. Table 9 shows that, despite there being almost double the number of recommendations in 2010-2011 compared to the biennium 2008-2009, UNODC managed to fully implement 11 recommendations (39 per cent). This is a significant improvement on the one recommendation (7 per cent) implemented in the previous biennium, showing that the level of recommendations that were either implemented or under implementation by UNODC had increased to 92 per cent, with only one recommendation not implemented.

60. The recommendation not implemented is related to corporate risk management. UNODC agreed with the Board's recommendation to implement a consistent organizational approach to risk management planning and indicated that it was developing a corporate risk mitigation methodology. However, the development of the methodology had not commenced at the time of the interim audit. UNODC indicated to the auditors that this was at an early stage and would be progressed.

61. The two recommendations submitted as completed but found to be under implementation by the Board are examined as follows. The first recommendation is related to the treatment of income. UNODC agreed with the Board's recommendation that it account for donations consistently and in accordance with United Nations regulations and rules and that any deviations from the regulations be properly recorded and justified at the point of receipt of the pledge. The Board was

able to confirm that progress is under way to ensure consistency in the recording of funding agreements by the Co-Financing and Partnership Section and that the Financial Resources Management Service of the United Nations Office at Vienna has agreed to implement an internal procedure whereby such agreements are recorded based upon clearance by the Co-Financing and Partnership Section and acceptance by the Financial Resources Management Service.

62. Furthermore, the Board's review of voluntary contribution income identified some remaining inconsistencies in the supporting documentation held on the system. As such, we are content that there has been improvement since the previous biennium, but feel there is further work to be done to fully implement this recommendation.

63. The second recommendation is related to improvements to procurement performance data. The United Nations Office at Vienna agreed with the Board's recommendation to enhance its procurement performance data by defining its information needs and implementing enhancements to systems. The Office indicated that system enhancements had been implemented as of March 2013 and significant improvements to systems had indeed been made, but the Board notes that some enhancements are under implementation, rather than already implemented.

64. One recommendation was overtaken by events. UNODC agreed with the Board's recommendation that it set out how the success of the new approach to strategic planning and budgeting would be measured, including an assessment of the cost of implementation. UNODC completed an evaluation of the new approach in 2012, but did not include an assessment of costs. UNODC indicated that this would have been extremely difficult and was likely to be of limited value. The Board accepts that the output from this evaluation does provide a strong basis for improving its planning, project initiation and ongoing programme management and that any further analysis of costs at this stage is unlikely to yield worthwhile value.

65. Management feel that the partial implementation of enhancements to the procurement system is allowing the procurement team to monitor and manage its business more effectively and that the completion of an evaluation of the new strategic approach to budgeting and planning has provided UNODC with a strong basis for improving its planning, project initiation and ongoing programme management.

H. International Criminal Tribunal for Rwanda

66. Of the 10 recommendations made by the Board with respect to the accounts of the International Criminal Tribunal for Rwanda for the biennium 2010-2011, the Tribunal had implemented seven (70 per cent) and three (30 per cent) were under implementation, as shown in table 10.

Table 10
Status of implementation of the recommendations of the Board for the International Criminal Tribunal for Rwanda for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Presentation and disclosure of financial statements	1	1	100	–	–	–	–	–	–
Progress made towards implementation of IPSAS	1	–	–	1	100	–	–	–	–
Strategic planning and budgeting	2	1	50	1	50	–	–	–	–
Non-expendable property management	1	1	100	–	–	–	–	–	–
Human resources management	1	1	100	–	–	–	–	–	–
Information technology	1	–	–	1	100	–	–	–	–
Transportation and travel management	1	1	100	–	–	–	–	–	–
Performance management and reporting	2	2	100	–	–	–	–	–	–
Total	**10**	**7**	**70**	**3**	**30**	**–**	**–**	**–**	**–**
2008-2009	**22**	**7**	**32**	**14**	**64**	**1**	**4**	**–**	**–**

67. The level of implementation in the biennium 2010-2011 (70 per cent) represented a significant increase over 2008-2009 (32 per cent). The Board is encouraged by this trend and notes that the Tribunal is currently going through a process of downsizing.

68. The Board has no concerns at this time regarding the three recommendations which are under implementation, as the target implementation date is before 2014. We will follow up during future audits.

I. International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law committed in the Territory of the Former Yugoslavia since 1991

69. Of the 6 recommendations made by the Board for the biennium 2010-2011, the International Tribunal for the Former Yugoslavia had implemented four (67 per cent), which is a slight increase over 2008-2009 (64 per cent). The remaining two (33 per cent) are under implementation, as shown in table 11.

Table 11
Status of implementation of the recommendations of the Board for the International Tribunal for the Former Yugoslavia for the biennium 2010-2011

Area	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
Progress made towards the implementation of IPSAS	1	1	100	–	–	–	–	–	–
Strategic planning and budgeting	1	1	100	–	–	–	–	–	–
Asset management	1	–	–	1	100	–	–	–	–
Performance management and reporting	1	1	100	–	–	–	–	–	–
Information technology	1	–	–	1	100	–	–	–	–
Human resource management	1	1	100	–	–	–	–	–	–
Total	**6**	**4**	**67**	**2**	**33**	–	–	–	–
2008-2009	**10**	**10**	**100**	–	–	–	–	–	–

70. The implementation of four (67 per cent) recommendations for 2010-2011 is due to the Tribunal abolishing posts (including both temporary and general temporary assistance positions) through a process of downsizing, implementation of IPSAS and preparation of the consolidated closure plan. In addition, management has achieved faster processing of trials and appeals through improvements made in the management of the archives and records management depositories, improved e-mail policies and the preparation of a disaster recovery plan for physical records.

IV. Acknowledgement

71. The Board wishes to express its appreciation to the United Nations organizations and their staff for the cooperation and assistance they provided to the Board's teams in the preparation of this report.

(*Signed*) Amyas **Morse**
Comptroller and Auditor-General of the
United Kingdom of Great Britain and Northern Ireland
(Lead Auditor)

(*Signed*) **Liu** Jiayi
Auditor-General of the People's Republic of China

(*Signed*) Ludovick S. L. **Utouh**
Controller and Auditor-General of the United Republic of Tanzania

30 June 2013

Appendix I

Status of implementation as at 31 March 2013 of the recommendations for the fifteen organizations included in the previous report of the Board of Auditors for the biennium 2010-2011

Organization	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
United Nations Secretariat	32	13	41	19	59	–	–	–	–
International Trade Centre UNCTAD/WTO	20	3	15	17	85	–	–	–	–
United Nations University	8	2	25	6	75	–	–	–	–
United Nations Institute for Training and Research	3	1	33	1	34	1	33	–	–
United Nations Environment Programme	16	7	44	9	56	–	–	–	–
United Nations Human Settlements Programme	16	9	56	4	25	2	13	1	6
United Nations Office on Drugs and Crime	28	11	39	15	53	1	4	1	4
International Criminal Tribunal for Rwanda	10	7	70	3	30	–	–	–	–
International Tribunal for the Former Yugoslavia	6	4	67	2	33	–	–	–	–
United Nations Development Programme	33	8	24	25	76	–	–	–	–
United Nations Children's Fund	29	19	66	8	27	–	–	2	7
United Nations Relief and Works Agency for Palestine Refugees in the Near East	36	29	81	7	19	–	–	–	–
United Nations Population Fund	33	10	30	19	58	3	9	1	3
United Nations Joint Staff Pension Fund	28	20	71	8	29	–	–	–	–
United Nations Office for Project Services	20	7	35	13	65	–	–	–	–
Total	**318**	**150**	**47**	**156**	**49**	**7**	**2**	**5**	**2**
2008-2009 (percentage)	**590**	**272**	**46**	**283**	**48**	**32**	**5**	**3**	**1**
2006-2007 (percentage)	**507**	**238**	**47**	**237**	**46**	**19**	**4**	**13**	**3**

Note 1: UNDP, UNFPA, UNOPS, UNICEF, United Nations Joint Staff Pension Fund and UNRWA have been added for context.

Note 2: The difference between the 676 recommendations included in the latest concise summary (A/67/173) and the 590 recommendations included in the 2008-2009 report (A/66/139) is explained by 52 recommendations on peacekeeping operations, 33 on UNHCR, an increase of 1 recommendation for the International Tribunal for the Former Yugoslavia and a decrease of 1 recommendation each for UNU and UN-Habitat.

Appendix II

Status of implementation of the recommendations of the Board of Auditors for the biennium 2008-2009 as at 31 March 2011

Organization	*Number of recommendations*	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*	
		Number	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*	*Number*	*Percentage*
United Nations Secretariat	72	29	40	37	51	4	6	2	3
International Trade Centre UNCTAD/WTO	9	1	11	8	89	–	–	–	–
United Nations University	16	4	25	9	56	3	19	–	–
United Nations Development Programme	89	46	52	43	48	–	–	–	–
United Nations Children's Fund	50	6	12	42	84	2	4	–	–
United Nations Relief and Works Agency for Palestine Refugees in the Near East	61	31	51	25	41	4	7	1	1
United Nations Institute for Training and Research	5	3	60	2	40	–	–	–	–
United Nations Environment Programme	26	10	38	13	50	3	12	–	–
United Nations Population Fund	93	61	66	31	33	1	1	–	–
United Nations Human Settlements Programme	19	10	53	7	37	2	11	–	–
United Nations Office on Drugs and Crime	15	1	7	9	60	5	33	–	–
International Criminal Tribunal for Rwanda	22	7	32	14	64	1	5	–	–
International Tribunal for the Former Yugoslavia	11	7	64	4	36	–	–	–	–
United Nations Joint Staff Pension Fund	43	17	40	19	44	7	16	–	–
United Nations Office for Project Services	59	39	66	20	34	–	–	–	–
Total	**590**	**272**	**46**	**283**	**48**	**32**	**5**	**3**	**1**
2006-2007 (percentage)	**507**	**238**	**47**	**237**	**46**	**19**	**4**	**13**	**3**
2004-2005 (percentage)	**651**	**342**	**52**	**276**	**43**	**28**	**4**	**5**	**1**

Note 1: The difference between the 676 recommendations included in the latest concise summary (A/67/173) and the 590 recommendations included in the 2008-2009 report (A/66/139) is explained by 52 recommendations on peacekeeping operations, 33 on UNHCR, an increase in 1 recommendation for ICTY and a decrease of one recommendation each for UNU and UN-Habitat.

United Nations A/68/164

General Assembly

Distr.: General
19 July 2013
English
Original: Arabic/English/Russian/
Spanish

Sixty-eighth session
Item 99 (q) of the provisional agenda*
General and complete disarmament

Measures to prevent terrorists from acquiring weapons of mass destruction

Report of the Secretary-General

Contents

		Page
I.	Introduction	3
II.	Replies received from Governments	3
	Australia	3
	Cuba	4
	Jordan	5
	Lebanon	7
	Mexico	7
	Poland	8
	Qatar	9
	Slovenia	10
	Uruguay	11
III.	Reply received from the European Union	12
IV.	Replies received from international organizations	13
	A. United Nations system	13
	International Atomic Energy Agency	13
	International Civil Aviation Organization	14

* A/68/150.

13-40041 (E) 150813

Please recycle

International Maritime Organization 15
United Nations Office on Drugs and Crime 16
B. Other international organizations 17
African Union 17
Commonwealth of Independent States 18
Financial Action Task Force 19
INTERPOL 20
North Atlantic Treaty Organization 21
Organization for the Prohibition of Chemical Weapons 23
Shanghai Cooperation Organization 24
World Customs Organization 25

I. Introduction

1. The General Assembly, in its resolution 67/44, entitled "Measures to prevent terrorists from acquiring weapons of mass destruction", called upon all Member States to support international efforts to prevent terrorists from acquiring weapons of mass destruction and their means of delivery and urged all Member States to take and strengthen national measures, as appropriate, to prevent terrorists from acquiring weapons of mass destruction, their means of delivery and materials and technologies related to their manufacture.

2. The General Assembly encouraged cooperation among and between Member States and relevant regional and international organizations for strengthening national capacities in that regard.

3. The Assembly appealed to all Member States to consider early accession to and ratification of the International Convention for the Suppression of Acts of Nuclear Terrorism.[1]

4. Furthermore, the General Assembly requested the Secretary-General to compile a report on measures already taken by international organizations on issues relating to the linkage between the fight against terrorism and the proliferation of weapons of mass destruction and to seek the views of Member States on additional relevant measures, including national measures, for tackling the global threat posed by the acquisition by terrorists of weapons of mass destruction and to report to the General Assembly at its sixty-eighth session. The present report is submitted in response to that request.

5. By note verbale dated 15 February 2013, Member States were invited to communicate their views on the issue. Similarly, letters dated 14 February 2013 were dispatched to relevant international organizations, including relevant bodies and agencies of the United Nations system. Member States and relevant international organizations were invited to provide executive summaries of their contributions for inclusion in the report of the Secretary-General, while their submissions in extenso would be posted on the website of the Office for Disarmament Affairs, if so requested by the Member State or international organization. The replies received are contained in sections II and IV of the present report. A reply from the European Union has been received and is reproduced in section III, in accordance with the modalities set out in resolution 65/276. Replies received after the deadline will be issued as an addendum to the present report.

II. Replies received from Governments

Australia

[Original: English]
[30 May 2013]

Australia considers that the increasingly diffuse nature of the terrorist threat and mobility of terrorist groupings have been evident in the past 12 months. Effective partnerships and global counter-terrorism cooperation are more important

[1] United Nations, *Treaty Series*, vol. 2445, No. 44004.

than ever, not least in preventing terrorists from acquiring and using weapons of mass destruction.

Australia attaches the highest priority to security of its own chemical, biological, radiological and nuclear materials. Security is maintained through harmonized approaches at the federal, state and territory levels of Government. Chemical, biological, radiological and nuclear security is a strong theme of Australia's work in the Association of Southeast Asian Nations (ASEAN), the ASEAN Regional Forum, the Global Initiative to Combat Nuclear Terrorism, the Nuclear Security Summit and the International Atomic Energy Agency. Australia also works closely with South-East Asian countries on capacity-building to reduce the risk of terrorists acquiring and using chemical, biological, radiological and nuclear materials and to enhance chemical, biological, radiological and nuclear security measures.

Australia has the honour to chair the Australia Group, which works to strengthen national export controls over material and technologies which could be used for the production of chemical and biological weapons. As a strong supporter of national export controls, Australia is committed to expanding international trade in chemical and biological goods for peaceful purposes and maintaining active chemical and biotechnological industries within a secure regulatory framework. In this context, Australia encourages United Nations Member States to implement chemical, biological, radiological and nuclear export controls drawing on Australia Group and Nuclear Suppliers Group guidelines.

Cuba

[Original: Spanish]
[30 April 2013]

Cuba strongly condemns all acts, methods and practices of terrorism in all its forms and manifestations, by whomsoever, against whomever and wherever they are committed and irrespective of the motives, including acts of State terrorism. It also condemns all actions intended to encourage, support, finance or cover up any terrorist act, method or practice.

Cuba has never allowed and will never allow its territory to be used for carrying out, planning or financing terrorist acts against any country.

Cuba is a State party to 14 existing international conventions on this matter, including the International Convention for the Suppression of Acts of Nuclear Terrorism, which is explicitly referred to in resolution 67/44. It also strictly complies with its obligations under Security Council resolutions 1267 (1999), 1373 (2001) and 1540 (2004).

Cuba attaches great importance to implementing the United Nations Global Counter-Terrorism Strategy, an instrument which should serve as a guide in the global fight against this scourge.

The Cuban Government has adopted a number of legislative, administrative and institutional measures to ensure that no terrorist acts, in any of their forms and manifestations, are committed on Cuban territory, including measures to prevent

terrorists from acquiring weapons of mass destruction, their means of delivery and materials and technologies related to their manufacture.

Cuba takes the view that this threat should be addressed within the United Nations framework and through international cooperation that is truly effective in preventing and combating all terrorist acts, including those which may involve weapons of mass destruction, and with full respect for the principles of international law and the purposes and principles enshrined in the Charter of the United Nations.

The only really effective way to prevent the use of weapons of mass destruction, including by terrorists, continues to be the immediate and complete elimination of all of these weapons from the face of the earth. As long as such weapons exist, no measure designed to prevent the commission of terrorist acts with weapons of mass destruction will be sufficient or completely effective.

The existence of more than 20,000 nuclear weapons, their continuing development and possible use are a serious threat to the survival of the human species. The efforts to counter acts of nuclear terrorism should be universal and supported by effective multilateral consultation.

The destruction of all types of chemical weapons in the shortest time possible should remain one of the key objectives of the Organization for the Prohibition of Chemical Weapons. It would make a significant contribution to international efforts to ensure that weapons of mass destruction do not fall into the hands of terrorists.

Cuba stresses the urgent need to strengthen the Biological Weapons Convention to ensure that these weapons are never used by or against anyone.

Cuba once again reiterates that it does not possess, nor has it the intention of possessing, weapons of mass destruction, nor is such possession an element of its national defence strategy.

Jordan*

[Original: Arabic]
[8 April 2013]

1. At the 2012 Nuclear Security Summit, which was held in March 2012, His Majesty King Abdullah II Bin Al Hussein announced the Jordanian initiative to form an anti-nuclear trafficking team composed of officials and experts from all relevant agencies, in order to combat the dangers posed by the smuggling of nuclear materials. The initiative, which is not aimed at nuclear reactors, is relevant to all States, regardless of whether they have nuclear energy programmes.

2. Jordan has sought to combat terrorism in all its forms through its national legislation and through its support for all international instruments and initiatives. Following an increase in terrorism, the Jordanian Government promulgated Law No. 55 (2006) on counter-terrorism, but ensured that its provisions did not prejudice public freedoms, so as to strike a balance among security, democracy and human rights. The Anti-Money-Laundering and Countering the Financing of Terrorism Unit

* The full text of the information provided by the Government of Jordan is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

has also been established. Furthermore, Jordan complies with the relevant international legal instruments, including the International Convention for the Suppression of Acts of Nuclear Terrorism, the Convention on the Physical Protection of Nuclear Material and the amendment thereto, the Global Initiative to Combat Nuclear Terrorism and Security Council resolution 1540 (2004) concerning the non-proliferation of weapons of mass destruction. Furthermore, the Jordan Nuclear Regulatory Commission and the United States Department of Energy have signed a memorandum of understanding on cooperation to combat the illicit trade in nuclear and radioactive materials.

3. Jordan affirms the importance of international cooperation to the strengthening of the security and safety regime for nuclear materials at the national and international levels and, in that connection, has enacted legislation to combat nuclear trafficking, including the law on nuclear energy. Jordan has also stressed the importance of redoubling international efforts to provide the countries of the region with the latest technology and equipment needed to ensure that the security and stability of the Middle East are not threatened by the trafficking of and illicit trade in nuclear and radioactive materials.

4. Jordan supports all regional and international endeavours to achieve nuclear security and prohibit the use of nuclear weapons, with the ultimate aim of establishing in the Middle East a zone free of weapons of mass destruction. To that end, it has concluded a comprehensive safeguards agreement with the International Atomic Energy Agency and has acceded to the Treaty on the Non-Proliferation of Nuclear Weapons, the Chemical Weapons Convention, the Biological Weapons Convention and the Comprehensive Nuclear-Test-Ban Treaty, and subscribes to the goals of the Washington and Seoul summits, held in 2010 and 2012, respectively. Jordan was one of the first countries in the region to sign those instruments. Jordan affirms the need to establish in the Middle East a zone free of weapons of mass destruction. Accordingly, the international community should support the efforts of the United Nations to that end, in order to prevent the start of a nuclear arms race in the region and to establish a Middle East nuclear safety zone. Jordan abides by the United Nations Global Counter-Terrorism Strategy, which was adopted by Member States on 8 September 2006.

5. Jordan supports the peaceful use of nuclear energy and affirms the right of peoples to acquire nuclear energy, so that the countries of the region can reap the benefits of nuclear power, provided that they make a clear commitment to abide by all requirements and standards that concern public safety, nuclear safety and security, the environment and nuclear non-proliferation. They must also support confidence-building measures and measures to foster transparency in connection with use of nuclear and radioactive materials, and, while taking into consideration the peaceful use of those materials in industry, agriculture, health and scientific research, take the measures and adopt the laws required to regulate the import and export of such materials, with a view to preventing their acquisition by unauthorized individuals and entities.

Lebanon

[Original: Arabic]
[23 April 2013]

Lebanon wishes to reiterate the following:

- Lebanon possesses no weapons of mass destruction and is in compliance with United Nations resolutions prohibiting the use or acquisition of such weapons by terrorists.
- Lebanon has introduced laws and regulations that allow for the monitoring of the export, transit and cross-border movement of weapons of all kinds, prohibit trafficking in such weapons and provide for the prosecution of terrorists.
- Lebanon supports closer cooperation between States and has contributed to international counter-terrorism efforts. It has put in place strict deterrent legislation concerning the surveillance and prosecution of terrorists.
- Lebanon is combating the proliferation of weapons of mass destruction and is also working to curb armament, with a view to establishing a zone free of weapons of mass destruction in the Middle East. Moreover, Lebanon denies the legitimacy of the threat or use of such weapons.
- Lebanon condemns all forms of terrorism and participates in concerted and collective international counter-terrorism efforts.
- Lebanon expresses grave concern at Israel's non-compliance with international legitimacy, which poses a threat to all countries in the region.

Mexico

[Original: Spanish]
[21 May 2013]

Terrorism

Mexico strongly condemns terrorism in all its forms and manifestations and is therefore working towards its prevention and suppression.

Mexico is committed to nuclear non-proliferation and disarmament and believes that the threat posed by the use of dual-use materials for terrorist purposes requires international cooperation in the building, sharing, and strengthening of capacities. In keeping with this goal, and having joined the Global Initiative to Combat Nuclear Terrorism in 2010, Mexico will host the eighth plenary session of the Initiative on 23 and 24 May 2013. The meeting will be the first of its kind to be held in the Americas region. Mexico's participation in this mechanism confirms its commitment to nuclear security and complements its related efforts in other international cooperation forums.

With regard to the regional agenda, Mexico is pursuing cooperation programmes with the Executive Secretariat of the Inter-American Committee against Terrorism of the Organization of American States. One of these programmes is designed to promote the implementation of Security Council resolution 1540

(2004) in connection with the threat posed by the use of dual-use materials for terrorist purposes.

Export control regimes

Mexico supports disarmament and the non-proliferation of nuclear, chemical, and biological weapons. It therefore encourages international cooperation to establish effective and efficient measures to prevent the proliferation of such weapons and the diversion of sensitive materials, recognizing that global threats require joint and comprehensive solutions. Mexico considers export control regimes for dual-use materials and technologies and the measures adopted in multilateral disarmament and non-proliferation forums to be complementary and mutually reinforcing.

Accordingly, in 2010 the Mexican Government took the necessary steps under domestic law to join the four export control regimes for dual-use materials and technologies:

Wassenaar Arrangement. Mexico has been a participating State since January 2012.

Nuclear Suppliers Group. Mexico joined the Group in September 2012.

Australia Group. Mexico's application for membership will be considered at the plenary meeting of the Group in June 2013.

Missile Technology Control Regime.

Poland

[Original: English]
[25 February 2013]

Poland is convinced that the United Nations should serve as a platform for discussing and upgrading the implementation of the international norms against weapons of mass destruction and chemical, biological, radiological and nuclear terrorism. For this purpose, Poland strongly supports the implementation of Security Council resolution 1540 (2004). On 12 and 13 July 2012, the Government of Poland, in cooperation with the United Nations Office for Disarmament Affairs and the Stimson Center, hosted an event in Warsaw devoted to the regional aspects of the implementation of that resolution. Throughout the two-day conference, participants from the European Union Eastern Partnership countries, the Caucasus and Central Asia engaged in conversation on their national plans to implement resolution 1540 (2004).

An important facet of the workshop was to highlight the interconnection between the capacity-building necessary to combat the weapons of mass destruction terrorism threat and the required measures to fight a broader range of security concerns: organized crime, the trafficking of illicit drugs and others.

The workshop was also aimed at demonstrating an important aspect of the implementation of global non-proliferation obligations. In an era of globalization, the international community must engage with both the public and private sector to minimize the risk of chemical, biological, radiological and nuclear smuggling and the illicit trafficking of dual-use goods. We highly appreciate that this aspect

remains an important part of work of the 1540 Committee. Subsequently, a regional approach to the implementation of resolution 1540 (2004) is of the utmost importance in bringing together countries with similar experiences but also with similar security challenges. Poland will continue to support this cooperation.

Another activity undertaken recently by Poland is "The International Centre for Chemical Safety and Security in Tarnów". The Centre was established with the support of the Ministry of Foreign Affairs of Poland. It will develop a practical international platform for an exchange of experiences between international organizations, Governments and private companies to develop measures (including counter-terrorist measures) aimed at improving chemical safety and security. The Centre will offer training courses for national and international partners, including from industry, academia and laboratories. In particular, the Centre will cooperate with the Organization for the Prohibition of Chemical Weapons and the World Health Organization.

Poland also actively participates in the Global Initiative to Combat Nuclear Terrorism.

Qatar

[Original: Arabic]
[29 May 2013]

- The State of Qatar has issued Decree No. 38 (1979) approving accession to the Treaty on the Non-Proliferation of Nuclear Weapons.
- On 8 December 1999, Qatar ratified the Convention on the Marking of Plastic Explosives for the Purpose of Detection.
- Qatar has issued Decree No. 32 (2001) ratifying the Convention on the Prohibition of the Development, Production and Stockpiling of Bacteriological (Biological) and Toxin Weapons and on their Destruction.
- Qatar has issued Decree No. 58 (2003) ratifying the Convention on the Prohibition of the Development, Production, Stockpiling and Use of Chemical Weapons and on their Destruction.
- On 1 January 2004, Qatar ratified the Convention on the Physical Protection of Nuclear Material.
- On 3 June 2008, Qatar acceded to the International Convention for the Suppression of Terrorist Bombings.
- Qatar has concluded numerous bilateral agreements and memorandums of understanding on security cooperation with other States, including counter-terrorism and weapons of mass destruction.
- Qatar was among the first States to implement Security Council Committee resolution 1540 (2004) by establishing a National Arms Control Committee by virtue of Council of Ministers decision No. 26 (2004). The Committee is responsible for proposing legislation to implement international arms control instruments and reviewing relevant legislation.
- Qatar has adopted Law No. 3 (2004) on counter-terrorism.

- Qatar has adopted Law No. 7 (2007) establishing the National Counter-Terrorism Committee.
- Qatar has adopted Law No. 17 (2007) on chemical weapons. An amendment was subsequently drafted and is in the final stages of adoption.
- A regional workshop on the suppression of nuclear terrorism was held on 29 and 30 April 2008 in cooperation with the United Nations Office on Drugs and Crime (UNODC).
- From 8 to 11 March 2009, Qatar hosted a workshop on the implementation of Security Council resolution 1540 (2004) organized by UNODC with funding from the European Union and the Governments of the United Kingdom, Norway and the United States of America.
- Qatar has adopted Law No. 4 (2010) on combating money-laundering and the financing of terrorism.
- Qatar has established the National Committee on Combating Money-laundering and the Financing of Terrorism.
- Qatar has prepared a draft national mechanism to control and monitor nuclear materials, which is now being adopted.
- Qatar has prepared a law prohibiting biological weapons, which is now being adopted.

Slovenia*

[Original: English]
[29 May 2013]

I. Relevant amendments to national legislation

Since 2008, amendments to national legislation relevant for the implementation of Security Council resolution 1540 (2004) have been adopted and activities carried out. These amendments facilitated the ratification of the International Convention for the Suppression of Acts of Nuclear Terrorism (December 2009) and of the Amendments to the Convention on the Physical Protection of Nuclear Material (July 2005).

Parliament adopted the new National Security Strategy of the Republic of Slovenia in April 2010, which defines illicit activities in the areas of conventional weapons, weapons of mass destruction and nuclear technology as the major threats to international peace and security and to national security.

A new article 307 of the Criminal Code introduced with the Act amending the Criminal Code and entered into force on 15 May 2012 regarding illicit production and trafficking with arms, explosives and chemical, biological, radiological and nuclear materials, was introduced.

* The full text of the information provided by the Government of Slovenia is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

II. Global and regional activities

Slovenia adheres to the European Union Strategy against Proliferation of Weapons of Mass Destruction and directly implements the European Union regulation on dual-use goods.

Slovenia is a member of all export control regimes except for the Missile Technology Control Regime, in which no consensus can be reached on admitting new members.

Slovenia, together with the United States of America and the German agency, the Federal Office of Economics and Export Control, on behalf of the European Union, co-hosted the Thirteenth International Export Control Conference in Portorož (May 2012).

As part of the Export Control and Related Border Security Programme, Slovenia assists Bosnia and Herzegovina in capacity-building, focusing on dual-use goods.

The Nuclear Safety Administration provides, through the International Atomic Energy Agency (IAEA) technical cooperation, training courses on nuclear safety and security for both the region and IAEA fellows from different developing countries.

In 2010, the IAEA mission, the International Physical Protection Advisory Service, was conveyed in Slovenia. Some suggestions and recommendations were provided to the Government.

Slovenia participates in European Union actions under the chemical, biological, radiological and nuclear umbrella, namely, the European Union Action Plan on chemical, biological, radiological and nuclear security.

Slovenia organized the Proliferation Security Initiative exercise, "Adriatic Gate 2007" (May 2012), at the port of Koper. The exercise verified the operation of Slovenian authorities by simulating an interception of suspicious (container) cargo containing chemical or nuclear materials needed for making weapons of mass destruction.

In June 2011, in cooperation with the Federal Bureau of Investigation, the United States Department of Energy and Slovenian Police Crime Investigation Directorate and Customs, a joint training course on "Radiological, Detection Investigative Techniques" was organized.

Uruguay

[Original: Spanish]
[3 May 2013]

In response to the Secretary-General's request under paragraph 5 of General Assembly resolution 67/44, it is worth reiterating that Uruguay has always been and still is committed to the global effort to counter international terrorism, including through the adoption of measures to prevent terrorists from acquiring weapons of mass destruction. The effort has gained sustained momentum as a result of Security Council resolution 1373 (2001), which established the Counter-Terrorism Committee.

A large delegation from this Committee, chaired by Executive Director Mike Smith, visited Montevideo from 7 to 9 November 2012 to meet with all the national

services with direct responsibilities in the various areas of interest to the Committee (that is, dealing with the areas covered in the four operative paragraphs of the aforementioned Security Council resolution).

Notwithstanding the fact that Uruguay has been supporting the measures that the international community has deemed necessary to take in the global effort to counter international terrorism in all its manifestations and that it has been involved in drafting various multilateral legal instruments at both global and regional levels, the aforementioned visit from the Counter-Terrorism Committee has been an extremely useful opportunity to give new impetus to the legal procedures for Uruguay's accession to the relevant treaties which it has not yet ratified or even signed.

In general, and subsequent to careful review of the resources available to tackle the challenges of terrorism in its most diverse forms, Uruguay appears to have a reasonable capacity for response to the various threats that it poses. A review of the existing national legislation, together with the measures authorized therein, will show that the State and its institutions have the necessary instruments to perform most of the functions required of them in this demanding and complex area. However, the Committee's visit has led to further efforts to improve and strengthen the capacity to respond to new forms of terrorism.

III. Reply received from the European Union*

[Original: English]
[29 May 2013]

The European Union Common Foreign and Security Policy, the 2003 European Security Strategy and the European Union Strategy against Proliferation of Weapons of Mass Destruction, the European Union Counter-Terrorism Strategy (2005) and the New Lines for Action by the European Union in Combating the Proliferation of Weapons of Mass Destruction and Their Delivery Systems (2008), reinforce the commitment of the European Union to prevent the access of terrorists to nuclear, chemical and biological materials, technical know-how and technology. In line with Security Council resolution 1540 (2004) and its weapons of mass destruction Strategy, the European Union requires the insertion of non-proliferation clauses in all its agreements with third countries. All the European Union member States and Euratom have ratified the Convention on the Physical Protection of Nuclear Material and are expected to ratify the Amendment to the Convention at the earliest possible time.

Consistent with the long-standing support that the European Union provides to global nuclear security efforts, the European Union also fully supports the key role of the International Atomic Energy Agency (IAEA). The European Union welcomes the 2013 IAEA ministerial International Conference on Nuclear Security: Enhancing Global Efforts.

The European Union will continue to contribute actively to the Global Initiative to Combat Nuclear Terrorism and other initiatives that contribute to

* The full text of the information provided by the European Union is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

improving the security of nuclear material and a strengthened nuclear security culture. The European Union is actively working in the areas of nuclear detection and response mechanisms, including nuclear forensics.

The European Union contributed actively to the outcome of the 2011 Review Conference of the Parties to the Biological Weapons Convention and is committed to the Convention's Intersessional Process. The European Union, which accounts for 40 per cent of the budget of the Organization for the Prohibition of Chemical Weapons spent on disarmament and non-proliferation projects worldwide, strongly engaged in the third Review Conference of the Parties to the Chemical Weapons Convention, with the aim of reinforcing the regime even further.

The European Union has been continuously implementing its 2009 Action Plan on chemical, biological, radiological and nuclear security. The European Police Office conducts several activities that are aimed at assisting European Union member States with developing their capacity to prevent and respond to chemical, biological, radiological and nuclear incidents. Under the Seventh Framework Programme for Security Research (2007-2013) of the European Commission, a part of the funding is allocated to research and development projects in the field of chemical, biological, radiological and nuclear security.

The Border Monitoring Working Group, created in 2006 between the United States of America, the European Union and IAEA, has been working on the implementation of joint projects on nuclear forensics, aiming at effectively combating illicit nuclear trafficking, terrorism and proliferation.

IV. Replies received from international organizations

A. United Nations system

International Atomic Energy Agency

[Original: English]
[30 April 2013]

The International Atomic Energy Agency (IAEA) continued to assist States through the implementation of the Nuclear Security Plan 2010-2013.

IAEA continued to publish guidance documents in the Nuclear Security Series. In September 2012, the Board of Governors endorsed the primary publication "Nuclear Security Fundamentals: Objective and Essential Elements of a State's Nuclear Security Regime". In addition, one implementing guide, NSS 18: "Nuclear Security Systems and measures for major public events" was published.

The Nuclear Security Guidance Committee, a standing body of senior experts open to all member States, was established for the purpose of making recommendations on the development and review of IAEA Nuclear Security Series documents. Nuclear security peer reviews and advisory services continued to be provided to assess the effectiveness of nuclear security, identify needs, and provide a basis for formulating plans. Four International Physical Protection Advisory Service missions were undertaken and several advisory missions conducted.

A major element of IAEA nuclear security assistance is the provision of equipment for detecting and responding to the unauthorized movement of nuclear and other radioactive material. The Agency donated 209 instruments to States and loaned a further 386 instruments.

IAEA conducted 82 training events on all aspects of nuclear security reaching more than 2,000 people. It facilitated the collaboration and promotion of nuclear security support centres or associated training centres aimed at training nuclear security personnel and providing technical and scientific support to competent authorities and other institutions responsible for nuclear security.

The International Nuclear Security Education Network has expanded and now comprises 72 members. Five universities are currently developing a European Master of Science Programme in Nuclear Security that is based on the guideline developed by IAEA through the Network.

The membership of the Agency's Illicit Trafficking Database programme continued to expand, and numbered 119 member States and one non-member State by the end of 2012. In 2012, a new title, Incident and Trafficking Database was proposed, to more accurately reflect the scope of the programme. A total of 160 incidents were reported in 2012.

IAEA continued to work with relevant international and regional organizations and institutions. The Agency engaged member States and relevant United Nations bodies to establish a basis to improve cooperation and enhance dialogue among other international nuclear security-related initiatives. In order to promote this process, IAEA organized three Information Exchange Meetings in 2012.

International Civil Aviation Organization

[Original: English]
[31 May 2013]

The International Civil Aviation Organization (ICAO) promotes the counter-terrorism objectives set out in General Assembly resolution 67/44 on measures to prevent terrorists from acquiring weapons of mass destruction, generally by developing and helping States to implement aviation security measures designed to prevent acts of unlawful interference against civil aviation and, especially in relation to resolution 67/44, acts of sabotage or the use of aircraft as weapons of mass destruction. A number of initiatives to strengthen aviation security worldwide serve to prevent the type of attacks that occurred on 9/11, as well as acts of sabotage.

ICAO recognizes the link between efforts to secure the global air cargo supply chain and measures to prevent terrorists from acquiring chemical, biological and radiological weapons, commonly characterized as weapons of mass destruction. To mitigate supply chain risk, in late 2012, as recommended by the High-level Conference on Aviation Security held in Montreal in September 2012, ICAO approved a fast-track Amendment 13 to annex 17 of the Chicago Convention. The revised and new provisions, which become applicable on 15 July 2013, further the implementation of supply chain security measures with a special focus on securing high-risk cargo. The amendment includes a revised and comprehensive standard for the screening and security control of persons other than passengers, noting that the

High-level Conference concluded that the vulnerabilities posed by aviation insiders are real and should be addressed on an expedited basis.

While ICAO has lengthy experience in developing strategies for preventing aviation-related acts of terrorism, chemical, biological and radiological weapons involve a new set of challenges and call for specific subject-matter expertise. Acknowledging the need for further analysis, the ICAO Aviation Security Panel is currently assessing the nature and severity of the risk to aviation posed by chemical, biological and radiological threats.

A proposed Amendment 14 to annex 17 strengthens measures for landside security at airports, in the light of recent landside bombings and the medium-high risk assessed to such threats. Amendment 14 is expected to become applicable in 2014.

International Maritime Organization

[Original: English]
[10 May 2013]

The International Maritime Organization (IMO) adopted, in 2002, mandatory measures to enhance maritime security, as the new chapter XI-2 to the International Convention for the Safety of Life at Sea, 1974, as amended, and the International Ship and Port Facility Security Code.

These measures, which became effective on 1 July 2004, are implemented by 162 member States representing 99 per cent of the world's merchant fleet. Around 40,000 ships engaged in international voyages, and over 10,000 port facilities serving them, have had their security plans developed and approved. Further to the adoption of amendments to chapter V of the International Convention for the Safety of Life at Sea in 2006, IMO is currently also implementing a mandatory Long-Range Tracking and Identification system to permit the tracking of ships globally.

The 2005 Protocols to the Convention on the Suppression of Unlawful Acts against the Safety of Navigation, and its Protocol relating to Fixed Platforms Located on the Continental Shelf, respectively, which were adopted following the 11 September 2001 terrorist attacks on the United States of America, have extended the scope of the 1988 Convention on the Suppression of Unlawful Acts against the Safety of Navigation and its Protocol to cover new offences, such as using the ship in a manner that causes death or serious injury, and the unlawful carriage of weapons or material that could be used for weapons of mass destruction. New boarding provisions for suspect ships have also been included.

The 2005 Protocols to the Convention on the Suppression of Unlawful Acts against the Safety of Navigation entered into force on 28 July 2010 and, as at 10 May 2013, had been ratified or acceded to by 23 States and 19 States, respectively. The original 1988 Convention and Protocol have 160 and 148 States Parties, respectively. IMO continues to provide advice and assistance to Member States and international organizations on all aspects of maritime security including terrorist acts against ships, offshore installations and other maritime interests.

IMO also maintains a vibrant technical cooperation programme, assisting Contracting Governments to the International Convention for the Safety of Life at

Sea to meet their obligations with respect to maritime security, through training courses, needs assessment missions, seminars and workshops on regional and national bases; and providing information and advice at relevant conferences and meetings on maritime security.

With regard to United Nations counter-terrorism initiatives, including those related to Security Council resolution 1540 (2004), IMO works closely with the United Nations Counter-Terrorism Executive Directorate and the United Nations Counter-Terrorism Implementation Task Force, and works directly with the 1540 Committee of the Council, if there is a maritime component.

United Nations Office on Drugs and Crime*

[Original: English]
[23 May 2013]

The United Nations Office on Drugs and Crime (UNODC) has continued to assist member States with the ratification and implementation of the international legal instruments against chemical, biological, radiological and nuclear terrorism, in accordance with its mandate.

On 28 September, the UNODC Executive Director co-chaired the plenary session of the United Nations High-Level Meeting on Countering Nuclear Terrorism with a Specific Focus on Strengthening the Legal Framework. The meeting was attended by 130 member States, including 33 ministers.

In December, in Bangkok, UNODC conducted a workshop for members of the Association of Southeast Asian Nations on chemical, biological, radiological and nuclear and maritime terrorism.

In April, UNODC organized with the Organization for Security and Cooperation in Europe a national workshop on the international legal instruments against chemical, biological, radiological and nuclear terrorism in Bishkek.

UNODC continued its cooperation with the 1540 Committee, and participated in: a round table discussion on Security Council resolution 1540 (2004), held in Vienna in February; a seminar on resolution 1540 (2004), held in Bogotá in March and three workshops on implementation of resolution 1540 (2004) held, respectively, in Dushanbe in April, in Warsaw, in July, and in Pretoria in November.

UNODC participated in two conferences on the European Union's Chemical, Biological, Radiological and Nuclear Risk Mitigation Centres of Excellence Initiative, in Brussels, Belgium in May, and in New York, United States of America in June.

UNODC participated in, and contributed to, several IAEA initiatives and meetings in Vienna, including: a meeting on self-sustainable nuclear security support centres, held in January 2013; and several nuclear security information exchange and programme committee meetings on the IAEA International

* The full text of the information provided by the United Nations Office on Drugs and Crime is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

Conference on Nuclear Security. The Office also participated in the IAEA annual meeting of the International Nuclear Security Educational Network, held in July, and was an observer at the IAEA Board of Governors in September 2012.

As an official observer to the Global Initiative to Combat Nuclear Terrorism, UNODC participated in its Implementation and Assessment Group's meeting in Marrakech, Morocco in February 2013, and in an event on nuclear threat detection, entitled "Guardian 2012", organized by the Russian Federation in Moscow in September 2012.

UNODC participated in three meetings of the Global Partnership against the Spread of Weapons and Materials of Mass Destruction and briefed its members on its work on chemical, biological, radiological and nuclear terrorism.

UNODC participated in a national legislative drafting workshop against nuclear smuggling organized by the United States Department of State, held in Chisinau in January.

B. Other international organizations

African Union

[Original: English]
[5 March 2013]

1. The African Union remains firmly committed to the international non-proliferation and security regime and has undertaken various steps and efforts towards addressing the threat and risk of the proliferation of weapons of mass destruction on the continent, as well as issues relating to the linkages between the fight against terrorism and the proliferation of weapons of mass destruction.

2. The African Union continues to collaborate with the Organization for the Prohibition of Chemical Weapons towards advancing the full implementation of the Chemical Weapons Convention. The African Union is also working towards the full operationalization of the African Commission on Nuclear Energy, established by the African Nuclear-Weapon-Free Zone Treaty, which will monitor States Parties' compliance with their obligations, as well as promote the peaceful application of nuclear science and technology. The African Union is actively engaged with the relevant United Nations bodies to continue to assist member States in advancing their socioeconomic development objectives, while developing national capacities for the implementation of Security Council resolution 1540 (2004).

3. The African Union adopted, in 2004, the Protocol to the Organization of African Union Convention on the Prevention and Combating of Terrorism, which commits States Parties to strengthen national and regional measures, in conformity with relevant continental and international legal instruments, to prevent terrorists from acquiring weapons of mass destruction and to cooperate with the international community in this regard. It further developed the African Model Law on Counter-Terrorism to assist member States in implementing the provisions contained in the continental and international counter-terrorism instruments, including the International Convention for the Suppression of Acts of Nuclear Terrorism and the Convention on the Physical Protection of Nuclear Material.

4. African Union member States remain firmly committed to their obligations under the international non-proliferation and security regimes; however, they face pressing and competing developmental priorities that they have to address with limited financial and human resources, which impacts their ability to devote the resources required to fulfil their obligations under these regimes.

5. The African Union appreciates the assistance and resources made available through international organizations. It believes that such assistance should further take into consideration the national and regional context and should be designed to suit and address the needs of developing States, and emphasizes the dual benefit of such assistance to human security and development, thereby increasing its relevance and ensuring that all States take ownership of these regimes and engage actively in their full implementation.

Commonwealth of Independent States

[Original: Russian]
[26 March 2013]

Planned measures are being taken by the States members of the Commonwealth of Independent States (CIS), in accordance with the recommendations of the General Assembly and in compliance with General Assembly resolution 67/44 and Security Council resolution 1540 (2004), to prevent terrorists from acquiring weapons of mass destruction, their means of delivery and materials and technologies related to their manufacture. CIS countries regularly inform the Security Council Committee established pursuant to resolution 1540 (2004) regarding their efforts to enhance national systems for monitoring trafficking in weapons of mass destruction, their delivery systems and related materials.

Medium-term intergovernmental programmes provide for multidimensional, integrated and dynamic cooperation in this area among Commonwealth member States and agencies.

As part of implementation of the 2011-2013 Commonwealth of Independent States cooperation programme to combat terrorism and other violent manifestations of extremism, Commonwealth Heads of State signed the following agreements in 2012:

Agreement on cooperation in the provision of logistical support for counter-terrorism agencies;

Agreement on cooperation in training the professional staff of counter-terrorism units at the training institutions of the relevant Commonwealth member State agencies;

Agreement to establish a Council of directors of Commonwealth member State financial intelligence units.

Implementation of these instruments will make it possible to equip counter-terrorism units with cutting-edge equipment, improve professional training and enhance cooperation among financial intelligence units in detecting and tracking funds used to finance terrorism.

With the Counter-Terrorism Centre of the Commonwealth of Independent States in a coordinating role, Commonwealth member States conducted the Don-Antiterror 2012 joint operational and strategic exercise and gatherings of the senior staff of the counter-terrorism units of Commonwealth member State security agencies and special services. During these events, work was done, among other things, to hone the capacity, cooperation and management of emergency response agencies during possible seizure of high-risk nuclear facilities, transfer of radioactive materials, hostage release and terrorism response actions.

Work is also continuing on the development of computerized databases of potentially fraudulent line items, which could be used for the detection and tracking of cross-border offences and for the apprehension of persons on international wanted lists.

No information is available about evidence of the production or acquisition by terrorists of weapons of mass destruction and their components, or of their access to production technologies within the territory of the Commonwealth.

Financial Action Task Force

[Original: English]
[30 May 2013]

The Financial Action Task Force is an intergovernmental policymaking body that develops and encourages implementation of policies to combat money-laundering, and the financing of terrorism and proliferation. *The FATF Recommendations* are the internationally recognized standards in this area. Revised in February 2012, they now include two new standards for combating proliferation and helping countries to implement relevant United Nations Security Council resolutions:

- Recommendation 2 requires countries to ensure that the relevant policymaking and operational authorities have effective mechanisms to cooperate and coordinate domestically on the development and implementation of policies and activities to combat money-laundering, and the financing of terrorism and proliferation.
- Recommendation 7 requires countries to implement targeted financial sanctions (asset freezing and prohibitions on making funds available) to comply with Security Council resolutions relating to proliferation and its financing.

All 34 Task Force member jurisdictions and all members of the global network of eight Task Force-style regional bodies (over 180 countries in total) have committed at the ministerial level to implementing the *FATF Recommendations* and undergoing a peer review evaluation for compliance with those standards.

In February 2013, the Task Force issued a new *Methodology for Assessing Compliance with the FATF Recommendations and the Effectiveness of Anti-Money-Laundering/Counter-Terrorist Financing Systems*. This will be used to assess technical compliance with the *FATF Recommendations* and effectiveness of their implementation. The technical compliance assessment determines whether a country has implemented an appropriate legislative framework and has competent

recommendations made during its universal periodic review. The periodic review was sent to the Permanent Missions of Uruguay in Geneva and New York and to the Office of the United Nations High Commissioner for Human Rights and was posted on the website of the Ministry of Foreign Affairs in Spanish and English.

12. Since the early 1990s, Uruguay has led the negotiations on the resolution on the rights of the child (coordinated by the Group of Latin American and Caribbean States (GRULAC) and the European Union) in both New York and Geneva. As a result of those resolutions, there has been progress in the implementation of the Convention and the Optional Protocols thereto. Two specific mandates on the promotion and protection of the rights of the child have also been established through the resolution on the rights of the child: the Special Representative of the Secretary-General for Children and Armed Conflict and the Special Representative of the Secretary-General on Violence against Children, in addition to the Human Rights Council's specific mandates and the role of the Committee on the Rights of the Child.

Future pledges and commitments

13. Uruguay has set the following goals:

(a) Ratify the Optional Protocol to the Convention on the Rights of the Child on a communications procedure (signed at the signing ceremony held on 28 February 2012);

(b) Adopt, during the period from 2015 to 2020, a national care system as a legal framework to guide a universal policy for the most vulnerable social groups and advocate for the autonomy of dependent persons;

(c) Lower malnutrition and child mortality to the 2015 national target under the Millennium Development Goals;

(d) Strengthen the National Human Rights Institution and the Office of the Ombudsman in order to achieve "A" status under the Paris Principles, and further strengthen institutions with a view to the continued promotion and protection of human rights at the national level;

(e) Launch the mechanism for the prevention of torture pursuant to the Optional Protocol to the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (under the responsibility of the National Human Rights Institution);

(f) Monitor implementation of the recommendations made during the universal periodic review; by treaty bodies and thematic special procedures; and pursuant to other instruments of human rights and humanitarian law;

(g) Update domestic law and bring it into line with the Rome Statute of the International Criminal Court by including the Kampala amendments thereto, including the amendments on the crime of aggression;

(h) Strengthen the National Institute for Older Persons (INMAYORES) by implementing the first National Ageing and Old Age Plan;

(i) Prepare a national equal opportunities and rights plan for persons with disabilities;

(j) Eradicate poverty over the next five years.

Final message

14. Uruguay has undoubtedly played an active, attentive and constructive role in the universal framework for the promotion and protection of human rights. Similarly, at the national level, it is an accountable and transparent State with a commitment to human rights.

15. Uruguay therefore hopes that the Member States of the United Nations will support its candidature for membership in the Human Rights Council for the period 2014-2016 at the election to be held in New York in 2013.

authorities with adequate powers and procedures, by using a list of criteria that correspond to the specific requirements of the *FATF Recommendations*. The effectiveness assessment considers how well the country's system works in practice, by judging the extent to which 11 immediate outcomes are being achieved and what can be done to improve effectiveness. Two outcomes are relevant to proliferation.

- Immediate outcome 1. Money-laundering and terrorist financing risks are understood and, where appropriate, actions are coordinated domestically to combat money-laundering and the financing of terrorism and proliferation.
- Immediate outcome 11. Persons and entities involved in the proliferation of weapons of mass destruction are prevented from raising, moving and using funds, consistent with the relevant Security Council resolutions.

Countries are rated separately for their technical compliance with each of the 40 *FATF Recommendations*, and their effectiveness in meeting each of the 11 immediate outcomes. Evaluation reports are automatically published on the FATF website. FATF will begin to evaluate countries using the new Methodology at the end of 2013.

INTERPOL

[Original: English]
[10 April 2013]

The INTERPOL Chemical, Biological, Radiological, Nuclear and Explosives Terrorism Prevention Programme is composed of the Chemical and Explosives Terrorism Prevention Unit, the Bioterrorism Terrorism Prevention Unit and the Radiological and Nuclear Terrorism Prevention Unit. The Chemical, Biological, Radiological, Nuclear and Explosives Terrorism Prevention Programme strategy is focused on the following three main pillars:

- Intelligence support through the INTERPOL Chemical, Biological, Radiological, Nuclear and Explosives Intelligence Report (analysis of current trends, emerging threats), published on a monthly basis, as well as threat-specific analysis.
- Training programmes to assist member countries in establishing effective chemical, biological, radiological, nuclear and explosives countermeasures programmes with the goal of preventing the illegal dispersal of chemical, biological, radiological, nuclear and explosives materials.
- Response to chemical, biological, radiological, nuclear and explosives threats and malicious incidents as members of an INTERPOL Incident Response Team or INTERPOL Major Event Support Team to provide technical expertise.

The Chemical, Biological, Radiological, Nuclear and Explosives Terrorism Prevention Programme has delivered tabletop exercises, train-the-trainer sessions and regional workshops, for INTERPOL member States and regions.

The Chemical and Explosives Terrorism Prevention Unit has been designated as the international law enforcement contact for WCO Project Global Shield activities and is engaged internationally with outreach activities. The Biological Terrorism Prevention Unit addresses BioSecurity, preparedness and biological

incident response protocols. There is a continuing outreach to law enforcement, academia and public health agencies to improve biosecurity in developing countries. The Biological Terrorism Prevention Unit is fully engaged internationally regarding the future implications of synthetic biology and the rapid advancements within science. The Radiological and Nuclear Terrorism Prevention Unit provided effective partnership support to IAEA, the Dutch National Coordinator for Security and Counter-Terrorism; Europol; European Union Chemical, Biological, Radiological and Nuclear Centres of Excellence initiative; the European Commission's Border Monitoring Working Group; and the Global Initiative to Combat Nuclear Terrorism with courses covering Eastern Europe; the Balkans; and Central and South America.

In 2012, the INTERPOL Secretary-General announced Operation Fail Safe at the Nuclear Security Summit held in Seoul. Operation Fail Safe is being implemented to generate the issuance of INTERPOL Green Notices regarding individuals involved in the illicit trafficking of radioactive or nuclear material and provide operational support in tracking their transnational movements.

The Chemical, Biological, Radiological, Nuclear and Explosives Terrorism Prevention Programme is also engaged with a new WCO initiative to address the illicit trade of strategic and dual-use goods. Over the next 24 months, the WCO Security Programme will be developing a comprehensive training curriculum, conducting six regional awareness workshops and organizing a global law enforcement operation to detect and prevent trafficking and illicit diversion of goods that could contribute to chemical, biological, radiological and nuclear weapons of mass destruction. The INTERPOL Chemical, Biological, Radiological, Nuclear and Explosives Terrorism Prevention Programme will provide key input in developing the training approach and in facilitating coordination between customs and police services on combating chemical, biological, radiological, nuclear and explosives crime.

North Atlantic Treaty Organization*

[Original: English]
[30 May 2013]

Proliferation of weapons of mass destruction

At their Summit meeting in Chicago in May 2012, the North Atlantic Treaty Organization (NATO) Heads of State and Government called for universal adherence to, and compliance with, the Treaty on the Non-Proliferation of Nuclear Weapons and the Additional Protocol to the IAEA Safeguard Agreement, as well as for full implementation of Security Council resolution 1540 (2004) and further work under Council resolution 1977 (2011). They also endorsed the NATO Policy Guidelines on Counter-Terrorism, which identify three key areas of focus for NATO efforts: awareness of the threat, capabilities to counter it and engagement with partners and other international organizations. NATO appealed to all States to strengthen the security of nuclear materials within their borders, as called for at the 2012 Seoul Nuclear Security Summit. NATO also called upon Iran and the

* The full text of the information provided by the North Atlantic Treaty Organization is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

Democratic People's Republic of Korea to fully comply with all their international obligations.

Chemical, biological, radiological and nuclear defence capabilities

Within the NATO Response Force, the multinational Combined Joint Chemical, Biological, Radiological and Nuclear Defence Task Force, including the Chemical, Biological, Radiological and Nuclear Joint Assessment Team, is the key asset to protect from, and respond to, an attack or event involving chemical, biological, radiological and nuclear materials. This high-readiness force significantly adds to the specialized capabilities that the Alliance has to offer to Allies and Partners.

NATO chemical, biological, radiological and nuclear defence activities are supported by the Joint Chemical, Biological, Radiological and Nuclear Defense Capability Development Group (JCBRND/CDG), the Chemical, Biological, Radiological and Nuclear Defence Centre of Excellence in the Czech Republic, the Defence Against Terrorism Programme of Work and Weapons of Mass Destruction Non-Proliferation Centre.

Cooperation with partners

Through the Euro-Atlantic Partnership Council, the Mediterranean Dialogue, the Istanbul Cooperation Initiative, the NATO-Russia Council and with other partners across the globe, NATO has deepened cooperation and information-sharing on weapons of mass destruction threats and strengthened non-proliferation initiatives.

- The Annual NATO Conference on Weapons of Mass Destruction Arms Control, Disarmament and Non-Proliferation is one of NATO's largest outreach activities. It gathers together decision-makers, senior officials and distinguished academics in the field of weapons of mass destruction and security from a wide range of countries and enables them to openly exchange views. On average, 120 participants from more than 50 countries attend this event every year.

Science cooperation

- Defence Against Terrorist Threats is one of the key priority areas under the NATO Science for Peace and Security Programme. This programme supports security-related civil science and technology collaboration between scientists and experts from NATO and those from partner countries. Between 2008 and 2013, a total of 120 science for peace activities focusing on counter-terrorism and chemical, biological, radiological and nuclear defence were completed.

Organization for the Prohibition of Chemical Weapons*

[Original: English]
[31 May 2013]

At the third Special Session of the Conference of the States Parties to Review the Operation of the Chemical Weapons Convention ("the third Review Conference"), the States Parties declared their determination to increase their efforts to guard against the possible hostile use of toxic chemicals by non-State actors such as terrorists (para. 9.11 of RC-3/3, dated 19 April 2013).

The third Review Conference, while reaffirming the autonomous and independent status of the Organization for the Prohibition of Chemical Weapons (OPCW), while bearing in mind that OPCW is not an anti-terrorism organization, took cognizance of the relevant resolutions of the United Nations on combating terrorism and underscored the need to explore further cooperation on this issue and build on existing work with relevant international organizations and international bodies that deal with the potential threats of chemical terrorism (para. 9.145 of RC-3/3).

Moreover, the third Review Conference, in the light of the possibility of the use of chemical weapons against States Parties to the Convention through threat by actions or activities of any State, as well as the threat of the possibility of the use of chemical weapons by non-State actors, including terrorists, welcomed the measures taken by the secretariat to strengthen its ability to respond promptly to requests for assistance made under article X and to investigate the alleged use of chemical weapons (para. 9.115 of RC-3/3).

OPCW, within the clear boundaries of its mandate, continued to contribute to the efforts of the international community in these areas. This has been undertaken both through the promotion of the Convention's full implementation, as agreed by the Executive Council in 2001 (EC-XXVII/DEC.5, dated 7 December 2001), and in the context of the Organization's cooperation with the United Nations.

The Organization continued to verify the destruction of chemical weapons, with nearly 80 per cent of all declared stockpiles eliminated to date. At the same time, over 2,400 inspections were carried out at industrial facilities around the world since the Convention entered into force. The Organization also continued to provide several activities aimed at promoting the Convention's universality and full implementation, building capacities in the area of preparedness and response against actual or threat of use of chemical weapons, and in the area of peaceful chemistry, including in cooperation with different national and international partners.

In particular, OPCW continued to contribute to United Nations efforts towards the implementation of the Global Counter-Terrorism Strategy and of Security Council resolution 1540 (2004).

* The full text of the information provided by the Organization for the Prohibition of Chemical Weapons is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

Shanghai Cooperation Organization*

[Original: Russian]
[29 May 2013]

In the context of counter-terrorism, the Shanghai Cooperation Organization has continuously focused its attention on finding effective responses to the proliferation of weapons of mass destruction.

In accordance with paragraph 5 of General Assembly resolution 67/44, the Regional Counter-Terrorism Structure of the Shanghai Cooperation Organization is working on effective responses to the proliferation of weapons of mass destruction.

Together with the United Nations and other international organizations, the member States of the Shanghai Cooperation Organization are adopting measures to counter terrorism and implement Security Council resolution 1540 (2004) on non-proliferation of weapons of mass destruction. Some of the Shanghai Cooperation Organization member States have ratified the International Convention for the Suppression of Acts of Nuclear Terrorism, which was signed in New York on 14 September 2005.

The outcome statements of meetings of the Council of Heads of State of the Organization and the mid-term development strategy adopted in 2012 note that the Organization has consistently supported the strengthening of strategic stability and non-proliferation regimes for weapons of mass destruction.

A draft protocol on cooperation between the Regional Counter-Terrorism Structure and the Security Council Committee established pursuant to resolution 1373 (2001) concerning counter-terrorism (Counter-Terrorism Committee) was adopted under Decision No. 231, dated 25 March 2011, of the Council of the Regional Counter-Terrorism Structure. The draft protocol provides for focal points to coordinate cooperation and exchange information on terrorist and extremist organizations; on the changes and trends that mark the spread of terrorism, as well as the general status of the latter; and on individuals providing support to international terrorist organizations. The focal points will also coordinate joint working meetings and consultations.

Under the Shanghai Cooperation Organization's cooperation programme to counter terrorism, separatism and extremism for the period from 2013 to 2015 and the annual work plans of the Regional Counter-Terrorism Structure's Executive Committee, representatives of the relevant member State bodies met during the third quarter of 2012 to work on detection and suppression of illicit trafficking in weapons, ammunition and explosives, including weapons of mass destruction, used for terrorist purposes. The meeting was hosted by the Executive Committee of the Regional Counter-Terrorism Structure.

The Structure's protected database is in active use and undergoing improvements to ensure effective information exchange among the relevant bodies of the Organization's member States in their efforts to address terrorism, separatism and extremism, including responding to proliferation of weapons of mass destruction.

* The full text of the information provided by the Shanghai Cooperation Organization is available on the website of the Office for Disarmament Affairs (www.un.org/disarmament/WMD/SGReport_Terrorism). An executive summary was provided for inclusion in the present report.

Information on crimes related to illicit trafficking in weapons, ammunition and explosives and on individuals and organizations involved in such activity is exchanged regularly, in compliance with the 2008 cooperation agreement among the Governments of Shanghai Cooperation Organization member States to combat illicit trafficking in weapons, ammunition and explosives.

States members of the Organization conduct regular security verifications of strategic, critical and secure facilities that house materials that could be used in the production of weapons of mass destruction.

The Organization's member States have legal frameworks that facilitate the effective implementation of a set of prophylactic and legal measures designed to detect, prevent and respond to acts of terrorism, including those involving the use of weapons of mass destruction.

World Customs Organization

[Original: English]
[17 May 2013]

The possibility of terrorist groups or extremists gaining access to sensitive chemical, biological, radiological or nuclear weapons, or materials or strategic dual-use goods represents a clear and present danger to both domestic and international security. Cross-border trafficking is a key component of this threat. Customs has the responsibility for monitoring and controlling of all cross-border flows of goods, people, and conveyances and as such has a critical role together with its law enforcement partners in reducing risks associated with such trafficking.

In relation to the terrorist threat and extremism, the prevention of chemical, biological, radiological and nuclear and dual-use-related risks has increasingly become a priority for customs administrations across the globe. However, it can be said that a rather small number of WCO member States have sufficient capacity and expertise to deal with these risks.

To assist its 179 member States, WCO organized a strategic trade controls enforcement conference in November 2012 to raise awareness about illicit trafficking and to outline capacity gaps. The event was attended by nearly 100 WCO member States, international organizations, and academic institutions. As a result of the conference, the WCO members organized a special Strategic Trade Controls Enforcement Project, which is an international technical assistance initiative, under the auspices of the WCO secretariat.

The objective of the project is to provide customs and border agencies with increased capacity to prevent and detect cross-border trafficking of chemical, biological, radiological and nuclear and strategic dual-use goods. The envisioned outcome of the project relates to WCO member States being able to implement more effective border controls predetermined in international commitments addressing chemical, biological, radiological and nuclear and strategic dual-use goods related risks (such as Security Council resolution 1540 (2004)).

The project commenced on 1 April 2013 and, in its first instance, has three key deliverables over the next two years. These are: (a) the production of a comprehensive training curriculum for customs on strategic and dual-use goods and

other guidance materials on detection technologies for radiation and nuclear materials; (b) the organization of six regional awareness-raising seminars on strategic trade controls enforcement; and (c) the planning and execution of a global law enforcement operation to detect and prevent trafficking and illicit diversion of strategic goods in international supply chains.

The WCO secretariat encourages all 179 WCO member States to actively participate in the project and to contribute to its expected outcomes.

United Nations A/68/165

General Assembly

Distr.: General
19 July 2013
English
Original: Spanish

Sixty-eighth session
Item 115 (c) of the provisional agenda*
Elections to fill vacancies in subsidiary organs and other elections: election of 14 members of the Human Rights Council

Note verbale dated 18 July 2013 from the Permanent Mission of Uruguay to the United Nations addressed to the President of the General Assembly

The Permanent Mission of Uruguay to the United Nations presents its compliments to the Office of the President of the General Assembly and has the honour to refer to the candidature of Uruguay for membership in the Human Rights Council for the period from 2014 to 2016 at the election to be held in New York, in October and November 2013, during the sixty-eighth session of the General Assembly.

In that regard, and pursuant to General Assembly resolution 60/251, the Permanent Mission of Uruguay attaches herewith the document entitled "Candidature of Uruguay for membership in the Human Rights Council, 2014-2016" (see annex) and would be grateful if the present note and its annex could be circulated as a document of the General Assembly.

In the document, the Permanent Mission of Uruguay indicates the voluntary pledges and commitments that the Government of Uruguay undertakes to make should it be elected. The document also contains information on Uruguay's contributions to the Human Rights Council and on the actions that it has taken in order to meet the commitments that it has made with a view to membership for the period from 2009 to 2012.

* A/68/150.

13-40094 (E) 290713 020813

Please recycle

Annex to the note verbale dated 18 July 2013 from the Permanent Mission of Uruguay to the United Nations addressed to the President of the General Assembly

Candidature of Uruguay for membership in the Human Rights Council, 2014-2016

Voluntary pledges and commitments made pursuant to General Assembly resolution 60/251

Uruguay has submitted its candidature for membership in the Human Rights Council for the period from 2014 to 2016 in light of the following:

Commitments fulfilled

1. As a member of the Human Rights Council since its inception, Uruguay has played an active and constructive role in the institutional establishment of the Council and in the strengthening of its mandates and procedures. The State's commitment to and role in this new body, which has given the promotion and protection of human rights greater importance at the international level, resulted in its re-election in 2009; thus, it has been a member for a total of six years.

2. Uruguay is a State party to the principal international and inter-American human rights treaties and has recognized the competence of all the treaty monitoring bodies at the international and inter-American levels.

3. Uruguay extended a standing invitation to all the special procedures of the Human Rights Council in 2005 and to those of the inter-American system in 2007. It has extended many invitations to thematic procedures and has received six visits since 2009.[1]

4. Another of the most concrete examples of States' cooperation with the system is the submission of national reports to the different treaty bodies. Uruguay set itself the goal of submitting all of its overdue reports in 2012 and ultimately submitted eight such reports.[2] The relevant governmental stakeholders, a civil society

[1] The Special Rapporteur on torture and other cruel, inhuman or degrading treatment or punishment (visit in 2009; follow-up visit in 2012); the Special Rapporteur on trafficking in persons, especially women and children (2010); the Special Rapporteur on the human right to safe drinking water and sanitation (2012); and the Special Rapporteur on the promotion and protection of the right of freedom of opinion and expression (academic visit in 2012). In September-October 2013, the Special Rapporteur on the promotion of truth, justice, reparation and guarantees of non-recurrence will visit Uruguay (visit confirmed). In addition, Uruguay hosted a visit by the United Nations Deputy High Commissioner for Human Rights in October 2011 and has hosted various visits from the Regional Representative for South America of the United Nations High Commissioner for Human Rights.

[2] Reports to the Committee against Torture, the Committee on the Rights of the Child (three reports), the Human Rights Committee, the Committee on Enforced Disappearances, the Committee on the Protection of the Rights of All Migrant Workers and Members of their Families and the Committee on the Rights of Persons with Disabilities. The State's most recent reports to the Committee on the Protection of the Rights of All Migrant Workers and Members of their Families and the Committee on the Rights of Persons with Disabilities were submitted in early 2013.

consultation body and, since its establishment in May 2012, the National Human Rights Institution participated in the drafting process.

5. Uruguay was the first country in the world to submit an initial report to the Committee on Enforced Disappearances and thus, in April 2013, became the first country to be considered.

6. Uruguay held the presidency of the Human Rights Council from 20 June 2011 to 31 December 2012. Ambassador Laura Dupuy was the first female President of this body since its inception in 2006. While discharging this responsibility, Uruguay sponsored a number of initiatives aimed at strengthening the universal human rights protection system by promoting cooperation and focusing on a more rational, objective and non-selective use of the Council's special procedures in order to promote cooperation and the strengthening of national capacities.

7. During its presidency of the Council, Uruguay worked to progressively strengthen relations between the Council's mechanisms and States in order to facilitate dialogue and cooperation with the countries concerned, taking into account the need to listen to victims, prevent human rights violations and abuses and, where necessary, condemn them. The Uruguayan presidency supported greater integration of a human rights perspective and coordination between the universal system and other bodies, including regional and subregional organizations. It also attached greater importance to gender mainstreaming with a view to women's full enjoyment of their human rights and to their empowerment.

8. In addition, Uruguay sought to ensure the full participation of civil society and non-governmental organizations (NGOs) in the Council's agenda, including through the use of technology that allowed them to participate in the Council's various bodies without having to attend meetings in Geneva, thus ensuring the participation of small, underresourced and geographically remote NGOs and national human rights institutions.

9. Both as a member of the Human Rights Council and during its presidency, Uruguay has promoted the strengthening of the Office of the United Nations High Commissioner for Human Rights. In particular, it has stressed the need to provide the Office with more resources, both from the regular budget and from non-earmarked voluntary contributions, so that it can fulfil more effectively the growing number of mandates that it is assigned each year and provide more technical cooperation. Uruguay has tripled its voluntary contributions to the Office over the past year.[3] The High Commissioner plays a key role in the international human rights protection system; that role has gained importance over the years and experience has demonstrated the need to strengthen it further.

10. Uruguay believes that the universal periodic review has been a milestone in the process of strengthening the international system for the promotion and protection of human rights. In 2009, the country accepted all the recommendations that it received (a total of 88).

11. Uruguay also considers it important to follow up on the commitments that each State makes during the universal periodic review and on the recommendations that it receives. Without a compliance-monitoring system, countries' commitments may become mere promises and the recommendations, unfulfilled expectations. Thus, in September 2012, Uruguay submitted its midterm report on implementation of the

[3] In early 2013, $30,000 was provided.

United Nations A/68/166

General Assembly

Distr.: General
22 July 2013
English
Original: English/Russian/Spanish

Sixty-eighth session
Item 99 (t) of the provisional agenda*
General and complete disarmament

Women, disarmament, non-proliferation and arms control

Report of the Secretary-General

Contents

		Page
I.	Introduction	3
II.	Replies received from Governments	4
	Argentina	4
	Australia	4
	Colombia	5
	Cuba	6
	Jamaica	7
	Lithuania	8
	Netherlands	9
	Portugal	10
	Switzerland	11
	Trinidad and Tobago	12
	Ukraine	13
III.	Reply received from the European Union	13
IV.	Replies received from the United Nations system	14
	Department of Peacekeeping Operations	14
	Office for Disarmament Affairs	15

* A/68/150.

13-40245 (E) 070813 070813

Please recycle

United Nations Children's Fund 16
United Nations Development Programme 17
United Nations Entity for Gender Equality and the Empowerment of Women 18
United Nations Office on Drugs and Crime 19

I. Introduction

1. The General Assembly, in its resolution 67/48 on women, disarmament, non-proliferation and arms control, urged Member States, relevant subregional and regional organizations, the United Nations and specialized agencies to promote equal opportunities for the representation of women in all decision-making processes with regard to matters related to disarmament, non-proliferation and arms control, in particular as it relates to the prevention and reduction of armed violence and armed conflict.

2. The General Assembly welcomed the continuing efforts of the United Nations organs, agencies, funds and programmes to accord high priority to the issue of women and peace and security and, in this regard, noted the role of the United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women) in promoting the implementation of all resolutions related to women in the context of peace and security.

3. The General Assembly also urged Member States to support and strengthen the effective participation of women in organizations in the field of disarmament at the local, national, subregional and regional levels and called upon all States to empower women, including through capacity-building efforts, as appropriate, to participate in the design and implementation of disarmament, non-proliferation and arms control efforts. It also requested the relevant United Nations organs, agencies, funds and programmes to assist States, upon request, in promoting the role of women in disarmament, non-proliferation and arms control, including in preventing, combating and eradicating the illicit trade in small arms and light weapons.

4. Furthermore, the General Assembly requested the Secretary-General to seek the views of Member States on ways and means of promoting the role of women in disarmament, non-proliferation and arms control and to report to the General Assembly at its sixty-eighth session on the implementation of resolution 67/48. The present report is submitted in accordance with that request and on the basis of information received from Member States.

5. In this connection, a note verbale dated 25 February 2013 was sent to all Member States seeking their views on the subject. A memorandum dated 17 April 2013 was also dispatched to relevant United Nations system entities. Member States and relevant United Nations system entities were invited to provide summaries of their contributions for inclusion in the present report, and, if they so requested, their more extensive submissions are posted on the website of the Office for Disarmament Affairs. The replies received as at 18 July 2013 are contained in sections II and IV of the present report. A reply from the European Union was received and is reproduced in section III, in accordance with modalities set out in resolution 65/276. Additional replies will be issued in an addendum to the present report.

II. Replies received from Governments

Argentina

[Original: Spanish]
[5 June 2013]

The Government of Argentina, both as a troop contributor and as a defender of the human rights of populations in conflict, is committed to Security Council resolution 1325 (2000) and its follow-up resolutions, and to the resolutions of the General Assembly on women, disarmament, non-proliferation and arms control.

In keeping with the purposes of those resolutions and with the political support of the President, the Government of Argentina has implemented a policy of gender mainstreaming in the Ministries of Defence and Security, which has helped to increase the number of women in decision-making positions in those spheres. Noteworthy elements include the national plan to implement Security Council resolution 1325 (2000) in the area of defence, approved by the relevant authorities in 2008, and the countless measures taken to empower women members of the armed and security forces.

Argentina also supports the increase in the number of women in decision-making positions in domestic and international coordination mechanisms working on disarmament issues, especially the illicit trade in small arms, and local participation by women through the activities of various non-governmental organizations dedicated to disarmament. In that regard, Argentina welcomes the recent appointment by the Secretary-General of the United Nations of an Argentine woman as one of the nine expert members of the Advisory Board on Disarmament Matters.

Lastly, in 2011, the Ministry of Foreign Affairs and Worship called on all organizations working on issues related to women, peace and security and on civil society representatives to draft a national action plan for the implementation of resolution 1325 (2000) and its follow-up resolutions. Several non-governmental organizations working on peace and security and gender issues took part in the process.

The draft plan brings together the comments made by women who were consulted by the United Nations in connection with the celebration of the tenth anniversary of the adoption of resolution 1325 (2000). The women identified the need for progress in various areas, including the establishment of safe environments for women and girls in conflict and post-conflict situations, for which the involvement of women in disarmament processes is essential.

Australia

[Original: English]
[30 May 2013]

Australia strongly supports and promotes the role of women in disarmament, non-proliferation and arms control, and the broader women, peace and security agenda will continue to be a core priority for Australia during its term on the Security Council.

Over the past three years, Australia has actively supported women's participation in regional and international Arms Trade Treaty and Programme of Action discussions to ensure that the voices of women are heard on disarmament and arms control. Australia co-hosted the March 2012 Brisbane Pacific regional workshop on the Arms Trade Treaty and the Programme of Action on Small Arms with the Pacific Islands Forum secretariat and Oxfam, where prominent female leaders of non-governmental organizations from the Pacific and the Caribbean spoke about the specific impacts of illicit small arms on women and the important role of civil society organizations in disarmament.

Australia has also supported the Women's Institute for Alternative Development in holding three regional workshops in the Caribbean. The workshops produced a common regional position on the Arms Trade Treaty among Caribbean Community members that cemented the importance of including gender in the text of the Arms Trade Treaty. During negotiations towards the adoption of the Treaty, Australia consistently supported the inclusion of strong humanitarian references in the Treaty, including the recognition of victims of gender-based violence, which are now reflected in the preamble.

Australia also supported the participation of Pacific and Caribbean women's civil society organizations in Treaty negotiations for three years through the International Seminar Support Scheme of the Australian Agency for International Development. Where government officials were supported by the Scheme, Australia ensured gender balance so that women are given the opportunity to represent their Governments at a senior level at the United Nations.

At the domestic level, the Australian Government Office for Women, in cooperation with relevant Australian agencies, has developed a national action plan on women, peace and security to implement Security Council resolution 1325 (2000) and related resolutions to protect and empower women and girls in fragile, conflict and post-conflict situations. For the past three years, Australia has strongly supported the application of women to participate (successful in 2012) in the United Nations Disarmament Fellowship Programme.

In September 2011, the Government appointed Australia's first Global Ambassador for Women and Girls. The Ambassador is responsible for high-level international advocacy to advance the political, economic and social empowerment of women and girls, with a focus on the women, peace and security agenda.

Colombia

[Original: Spanish]
[16 May 2013]

The Government of the Republic of Colombia would like to note the following ways of giving women a greater role in disarmament, non-proliferation and arms control:

- Highlighting the links between the presence of arms and the potentially significant increase in domestic violence, as well as the greater risk of such violence

- Acknowledging the commitment and leadership of women in policymaking, especially where security is concerned
- Incorporating into public security policies the issue of violence against women in both the public and private domains
- Encouraging boys, girls and adolescents to reject models of masculinity and femininity associated with the power conferred by arms
- Ensuring that women participate in disarmament, demobilization and reintegration processes
- Stepping up campaigns to prevent domestic small arms use and publicize the links between small arms and various forms of domestic violence.

Colombia has a national public policy on gender equity, which includes a plan to guarantee a life free of violence. The policy was drafted by the Presidential Advisory Council on Equity for Women and launched by President Juan Manuel Santos Calderón on 12 September 2012.

This policy seeks to implement a coordinated series of strategic sectoral actions to overcome discrimination and guarantee the exercise of women's rights, thus generating benefits for the entire population in the form of a society that is more equitable, inclusive, prosperous and peaceful.

Cuba

[Original: Spanish]
[30 May 2013]

The General Assembly and the Economic and Social Council have an important role to play in monitoring the international commitments made by United Nations Member States for the advancement of the world's women.

States must make progress towards achieving full gender equality and empowering women at all levels, including through their participation in promoting international peace and security.

Cuba recognizes the importance of strengthening women's participation at all levels of decision-making in domestic and international institutions for policymaking in areas related to peace.

As the Beijing Declaration and Platform for Action recognized, women have played a leading role in the worldwide movement for peace and general disarmament. Women also play an essential role in the efforts to achieve the total elimination of nuclear weapons.

The promotion of equal opportunities for women as representatives in decision-making processes in the spheres of disarmament, non-proliferation and arms control will also constitute an important contribution to international peace and security.

Cuba has achieved enormous progress in relation to women's inclusion in the workforce, education and health and in terms of their participation in political life, as a result of public policies to benefit the Cuban people and women in particular.

strategy that encompasses prevention, rehabilitation and reintegration is being developed at present.

Despite these efforts, there is a need for international cooperation through technical assistance and capacity-building support to enable the full and effective implementation of the Programme of Action on Small Arms and the Arms Trade Treaty.

Jamaica will continue to remain engaged on issues to stem the illicit trade in small arms and light weapons and will remain unwavering in its support for disarmament in all its aspects, including nuclear disarmament. Jamaica remains hopeful that the international community will demonstrate the political will necessary to achieve this.

Lithuania[1]

[Original: English]
[6 June 2013]

Lithuania warmly welcomed the initiative by Trinidad and Tobago to table the resolution on women, disarmament, non-proliferation and arms control, which it co-sponsored in 2010 and 2012.

The initiatives related to the role of women in peace and security, including disarmament, non-proliferation and arms control, are significant to Lithuania in terms of strengthening the role of women in Lithuanian society and promoting the importance of these issues internationally.

Implementation at the national level

In the field of international security, including disarmament, non-proliferation and arms control, Lithuania has adopted a number of documents aimed at strengthening the role of women:[2]

- Gender equality in the national defence system was first included in the national programme on equality between women and men of 2010-2014.
- On 28 December 2011, the national action plan for the implementation of Security Council resolution 1325 (2000) was adopted.
- On 9 March 2012, the national plan of action for the implementation of resolution 1325 (2000) in the national defence system of Lithuania was adopted.
- On 24 May 2012, the Ministry of Foreign Affairs organized a seminar on the national implementation of resolution 1325 (2000).

Efforts at the international and regional levels

Lithuania is consistently raising gender-related issues at various United Nations forums, including open debates of the Security Council on women and

[2] Information and documents related to the implementation of Security Council resolution 1325 (2000) in Lithuania are available from www.urm.lt/index.php?921391448.

peace and security and the protection of civilians in armed conflict, as well as at the sessions of the Commission on the Status of Women.[3]

Lithuania welcomed the adoption of the Arms Trade Treaty and was among its first signatories. Throughout the negotiations, the country supported the inclusion of norms that would prevent transfers that could be used to perpetrate acts of gender-based and sexual violence.

At the second United Nations Conference to Review Progress Made in the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, Lithuania called upon States to take due account of gender and age in the context of small arms.

Emphasizing the importance of women in international peace and security is no less important at the regional level. As Chair of the Organization for Security and Cooperation in Europe (OSCE) in 2011 and the OSCE Forum for Security Cooperation in 2013, Lithuania presented and supported a number of initiatives related to women in security, in particular arms control.

Netherlands[1]

[Original: English]
[19 June 2013]

The Netherlands pursues an active struggle against the uncontrolled proliferation of and the unregulated, illicit flow of arms, which feed armed violence, terrorism and crime, undermining security, human rights and stability. The resulting global cost of hundreds of thousands of lives requires an operational approach.

The Netherlands stresses the importance of incorporating context-based gender perspectives in disarmament discussions, as women and men are affected in different ways by issues related to weapons of mass destruction, small arms and light weapons, landmines and disarmament and development.

Consequently, the Netherlands has actively pushed for references to gender perspectives, Security Council resolution 1325 (2000) and related United Nations resolutions in international negotiations and the implementation of agreements on tackling the illicit and uncontrolled spread of weapons and ammunition, such as the Arms Trade Treaty negotiations and the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects.

Furthermore, the Netherlands supports programmes related to disarmament, such as mine clearance and mine awareness, the safe storage of weapons and ammunition, the regulation of and transparency in arms trade and the training of (female) security and police forces, as part of the Netherlands foreign and development policy. The Netherlands takes the needs of men, women and children into account and cooperates with non-governmental and regional organizations. As sexual and gender-based violence is often conducted in situations of conflict and is related to the illicit trade in arms, the Netherlands supports activities aimed at ending impunity for sexual and gender-based violence.

[3] Statements of Lithuania are available from http://un.mfa.lt.

In addition, the Netherlands supports the building of knowledge on the linkages between disarmament and gender. Understanding the relationships between gender and security is relevant in achieving the international goals of disarmament. In this regard, the Netherlands supports the work of non-governmental organizations and knowledge institutions, such as evidence-based research, publications and panel discussions. The International Women's Day for Peace and Disarmament provides an important platform in which to further the engagement of actors. The Netherlands also initiates training on integrating comprehensive gender perspectives in peace operations to provide diplomats and military and civilian experts with operational tools and knowledge.

Disarmament can be strengthened through the integration of gender insights into disarmament debates, decision-making and actions and through more equitable participation of women in decision-making. This is in line with the second national action plan on resolution 1325 (2000) (2012-2015), creating an enabling environment for female leadership and active (political) participation at the national, subnational and local levels. Women have essential roles in reaching sustainable peace and security as early warners of conflict, combatants, peacebuilders, activists and political leaders. The Netherlands remains committed to supporting women's participation in disarmament, non-proliferation and arms control.

Portugal[1]

[Original: English]
[6 June 2013]

Recommendations

Portugal believes that women's participation in disarmament, non-proliferation and arms control would step up their effectiveness and legitimacy. On the basis of its own national experience, Portugal is convinced that the following measures would bring about improvements with regard to that issue.

- Implementation of policies with a view to promoting the recruitment of women to the security forces.
- Establishment of national plans for the implementation of Security Council resolution 1325 (2000).
- Investment in training specific to women in other levels of decision-making.
- Data collection and analysis of the results of disarmament processes with different levels of participation of women.

International instruments

Portugal pays special attention to small arms and light weapons, including firearms, in the context of gender-based violence and violence against women. This is why Portugal supported the addition of gender-based violence as a parameter that has to be considered when exporting arms, according to the Arms Trade Treaty. Portugal signed the Treaty on 3 June 2013.

In addition, Portugal welcomes the outcomes of the United Nations Conference to Review Progress Made in the Implementation of the Programme of

Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects held in 2012.

Situation at the national level

Women are affected in various ways by violence as a result of the use of firearms. In Portugal, the majority of legal firearms belong to men of Portuguese nationality. Between 2003 and 2008, there were 985 deaths from the use of firearms in Portugal. Of those, 225 (24 per cent) were women. Between 2007 and 2009, there were 191 cases involving the use of firearms in situations of domestic violence, which corresponds to 13 per cent of total cases involving the use of weapons in that context (Ministry of Home Affairs, 2007-2009).

Portugal's interpretation of Security Council resolution 1325 (2000) is comprehensive and includes, besides the approach to armed conflict and humanitarian assistance, the internal promotion of coherence of national policies regarding disarmament, the illicit trade in small arms and light weapons, public safety and gender-based violence in the defence of human rights of women and girls. This is stated in the 2009-2013 national action plan to implement the resolution. Furthermore, Portugal is striving to ensure the balanced representation of women and men at all decision-making levels, in particular in the security sector. Positive results are shown in its more detailed views submitted to the Office for Disarmament Affairs.

Switzerland[1]

[Original: English]
[30 May 2013]

Swiss foreign policy in the area of peace and security endorses an approach that is gender-sensitive and considers the different needs of women and men in an adequate and appropriate manner. Gender equality is an important cornerstone in the pursuit of sustainable, resilient and lasting peace. In this context, the protection of women and girls in conflict and post-conflict situations, the reinforcement of their human rights and the encouragement of their participation in peace and other political processes are paramount.

Switzerland includes gender-sensitive approaches in all its peace and security policy endeavours, as well as in operational programmes. It thereby sensitizes its partners to be equally attentive to gender issues in their projects. The gender perspective is thus well embedded in Swiss disarmament, non-proliferation and arms control endeavours, which fall under the national peace and security policy. Switzerland has also developed a national action plan on the implementation of Security Council resolution 1325 (2000) on women and peace and security. In a "whole of government" approach, all relevant actors of the Swiss Confederation have committed to concrete measures that are regularly monitored and reviewed. This includes gender-sensitive budgeting for programmes supported by Switzerland and projects in the field of disarmament, non-proliferation and arms control, as well as measures to increase the number of women in disarmament affairs.

Switzerland regularly addresses gender issues in its statements in multilateral forums, be it in the framework of the United Nations or in the context of other

relevant disarmament regimes. For instance, Switzerland embedded strong gender dimensions in its strategies regarding mine action and small arms and light weapons. Furthermore, Switzerland is a strong promoter of gender-inclusive approaches in the Geneva Declaration on Armed Violence and Development and in international small arms and light weapons instruments. Finally, Switzerland welcomes the inclusion of gender-specific considerations in the discourse on nuclear disarmament and non-proliferation.

Trinidad and Tobago[1]

[Original: English]
[3 June 2013]

Trinidad and Tobago has been the main sponsor of resolutions 65/69 and 67/48 on women, disarmament, non-proliferation and arms control, adopted by consensus by the General Assembly in 2010 and 2012, respectively.

International efforts

- Trinidad and Tobago convened a high-level side event in the margins of the sixty-seventh session of the General Assembly which provided an opportunity to expand the discourse on women, disarmament, non-proliferation and arms control.
- The publication *Forces of Change: Profiles of Latin American and Caribbean Women Combating Illicit Trafficking in Small Arms* was launched at the side event on women, disarmament, non-proliferation and arms control.

Regional efforts

The following regional seminars and conferences were hosted to provide disarmament and arms control training to security personnel including women:

- July 2010: United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean firearms destruction and stockpile management assistance package for Caribbean States.
- April and October 2011 and April 2012: inter-institutional training course on combating trafficking in firearms, ammunition and explosives.
- June 2012: regional round table on combating trafficking in small arms and light weapons through strengthened border controls.
- March 2013: bioresponse workshop in collaboration with the Inter-American Committee against Terrorism.
- April 2013: three-day workshop on the implementation of Security Council resolution 1540 (2004).

National implementation

Locally, equal opportunities have been promoted for women's participation at the decision-making level in matters regarding disarmament, non-proliferation and arms control in the following ways:

- Ascendancy of women to senior ranks of the Trinidad and Tobago Police Service.
- The posts of Deputy Commissioner of Police (Operations) and Assistant Commissioner of Police in charge of overseeing the Police Armour Shop are held by women.
- The Organized Crime Narcotics and Firearms Bureau, which is the main branch of the Police Service mandated to investigate illegal firearms activities, has been headed by a female police officer and routinely assigns several female police officers to conduct its investigations.
- The Trinidad and Tobago delegation during the preparatory meetings for the Arms Trade Treaty, as well as the second United Nations Conference to Review Progress Made in the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, were composed mainly of women.

Ukraine

[Original: Russian]
[31 May 2013]

In the Department of International Security and Disarmament of the Ministry of Foreign Affairs, women account for one third of the diplomatic staff and head two of the five divisions.

III. Reply received from the European Union[1]

[Original: English]
[7 June 2013]

As stated by the High Representative of the Union for Foreign Affairs and Security Policy, Catherine Ashton, it is harder to achieve lasting peace and security in any country or any region when only half of the population is represented at a negotiating table or in talks on post-conflict reconstruction. The European Union considers the participation of women in disarmament, non-proliferation and arms control crucial. The role of women in these areas can be enhanced by promoting gender consciousness and integrating women in the process.

On 8 December 2008 the Council of the European Union adopted the European Union comprehensive approach on Security Council resolutions 1325 (2000) and 1820 (2008) on women and peace and security and the operational paper on the implementation of resolution 1325 (2000) as reinforced by resolution 1820 (2008) in the context of the European Union Common Security and Defence Policy, which aims to make Common Security and Defence Policy missions gender conscious. Member States of the European Union have adopted individual national action plans.

The European Union is of the view that a gender perspective should be included in the aid modalities of donors for disarmament, demobilization and reintegration activities. A European Union concept paper on support for disarmament, demobilization and reintegration underlined the increased understanding that the

disarmament, demobilization and reintegration process as such should focus on ex-combatants and needs to include not only those carrying a weapon but also non-fighters associated with armed groups, including women and girls.

All European Union crisis management missions and operations include human rights and gender expertise. It is foreseen that the availability of and access to gender training would increase through the development of European Union standard elements for a training curriculum.

Women, girls, boys and men may be affected in different ways by mines and explosive remnants of war. They may also have different priorities in the survey and clearance of mine-affected areas. The European Union therefore calls upon all actors engaged in mine action to ensure that all human beings benefit on an equal basis from mine action activities.

In April 2012 the European Union and UN-Women signed a memorandum of understanding with the aim of working better together on gender and justice, women's leadership and political participation; women's access to economic empowerment; combating sexual and gender-based violence; humanitarian aid; women and peace and security; and women's empowerment in global issues.

With regard to women's underrepresentation in mediation processes and peace negotiations, an important dimension of the women, peace and security agenda, the European Union has a clear commitment to promote the representation of women and the availability of adequate resources for dedicated mediation gender expertise from an early stage of the mediation process onwards.

IV. Replies received from the United Nations system

Department of Peacekeeping Operations

[Original: English]
[10 June 2013]

The community-based labour-intensive projects of the African Union-United Nations Hybrid Operation in Darfur were initiated to foster the conditions for a full-scale disarmament, demobilization and reintegration programme. The projects target at-risk youth, and the goal is for 30 per cent of the beneficiaries to be female.

During the current fiscal year, the community violence reduction programme of the United Nations Stabilization Mission in Haiti, reoriented in 2007 from a classic disarmament, demobilization and reintegration programme, assisted more than 1,000 women through various projects focusing on vocational training, job placement and business management. The programme aims to foster stabilization through financial independence and training of vulnerable women in crime-affected areas.

Office for Disarmament Affairs

[Original: English]
[10 June 2013]

The Office for Disarmament Affairs of the Secretariat, through the implementation of its gender mainstreaming action plan (2003), continues to further disarmament objectives through gender-sensitive programmes, activities and policies both at Headquarters and through its regional centres in Lima, Lomé and Kathmandu. The Office has sought to promote equal opportunities for women in all decision-making processes with regard to disarmament, non-proliferation and arms control and underscore the valuable contribution that women can make to practical disarmament measures. When undertaking new programmes and initiatives at Headquarters and through its regional centres, the Office seeks to ensure that there is a gender component.

The Office for Disarmament Affairs has consistently promoted the participation of women in disarmament programmes and activities and in relevant, mandated forums, including the United Nations Disarmament Fellowship Programme, Groups of Governmental Experts and the Advisory Board on Disarmament Matters. Moreover, the participation of female experts in activities carried out under Security Council resolution 1540 (2004), specifically the many regional workshops organized by the Office, is strongly promoted. Likewise, the Office for Disarmament Affairs encourages Member States to nominate female participants for its disarmament, arms control and non-proliferation training courses for security sector officials and technical and scientific experts.

The Office for Disarmament Affairs has continuously championed women as agents of change by providing States with the tools to facilitate the incorporation of gender perspectives into small arms control and disarmament, including through the document entitled "Mainstreaming gender for the effective implementation of the Programme of Action on Small Arms".

The Office's regional centres have been particularly active in highlighting the importance of the participation of women in disarmament-related initiatives. In September 2012, the United Nations Regional Centre for Peace, Disarmament and Development in Latin America and the Caribbean launched the publication *Forces of Change: Profiles of Latin American and Caribbean Women Combating Illicit Trafficking in Small Arms* (available from www.unlirec.org/documents/ women_in_ fame.pdf), which features the experiences and skills of 58 women from national Government security sectors, law enforcement agencies and civil society organizations working in the field of small arms control. It previously hosted the first women-only inter-institutional course on combating firearms trafficking (September 2011). Furthermore, the United Nations Regional Centre for Peace and Disarmament in Africa organized two training workshops in Togo in 2012, in partnership with the Government of Togo, the Office of the United Nations High Commissioner for Human Rights and the International Committee of the Red Cross, to strengthen the capacities of security officials in policing electoral processes with specific modules devoted to preventing violence against women and gender-related issues.

Similarly, a new publication in the Civil Society and Disarmament series[4] featuring two articles addressing the participation of women in disarmament policy, education and advocacy, as well as gender-sensitive disarmament, demobilization and reintegration programmes, was launched at Headquarters in April 2013. Through this publication, the Office for Disarmament Affairs sought to highlight the increased interconnectedness between disarmament and other issues, including women's empowerment and participation. Among other themes, the publication underscores how progress in disarmament has significant implications for gender equality.

United Nations Children's Fund[1]

[Original: English]
[10 June 2013]

In 2012, the regional office of the United Nations Children's Fund (UNICEF) for the Americas and the Caribbean developed and launched a multi-country initiative to address high levels of armed violence and their impact on children and adolescents in the region, taking an integrated rights-based approach to armed violence prevention and reduction. The strategic three-pronged approach of the initiative includes strengthening data and evidence on the impact of armed violence on children, including differential impacts on girls and boys of different ages; integrating armed violence prevention and reduction into institutional child protection systems and mechanisms, including in the development of national and local policies and plans to prevent violence against children and women; and supporting community-based child-centred armed violence prevention and reduction programmes while ensuring gender-balanced community participation in their planning and implementation. Acknowledging the reinforcing and intergenerational nature of various forms of violence (armed, domestic, gender-based violence and physical and sexual abuse, etc.) in various environments (homes, communities, institutions), armed violence prevention and reduction efforts are integrated within wider efforts to prevent and respond to violence against children and women. Countries in the Americas and the Caribbean in which UNICEF is implementing armed violence prevention and reduction programmes include Belize, Brazil, Colombia, Costa Rica, El Salvador, Guatemala, Honduras, Jamaica, Mexico, Nicaragua and Panama.

In addition, UNICEF continues to support efforts to address the impact of weapons on children and women in armed conflict and post-conflict settings. This includes continued leadership of the mine/explosive remnants of war risk education pillar within mine action, with mine/explosive remnants of war risk education programmes ongoing in more than 20 countries. UNICEF is also active in advocating for increased investment in and commitment to the establishment of systematic and sustainable weapons-related injury surveillance systems, including ensuring age and gender disaggregation in data collection and management. In Nepal, with support from UNICEF, the countrywide surveillance system on armed violence has made an improved response to the age and gender dimensions of

[4] Office for Disarmament Affairs, *Applying a Disarmament Lens to Gender, Human Rights, Development, Security, Education and Communication: Six Essays* (New York, 2012). Available from www.un.org/disarmament/HomePage/ODAPublications/CivilSocietyAndDisarmament/2012/NGO_pub_2012.pdf.

weapons threats possible through the availability of disaggregated data to inform mine action, assistance to victims of weapons-related injury, and armed violence prevention and reduction initiatives, such as the countrywide public awareness campaign against gun violence. In such countries as Libya, UNICEF is also increasingly involved in small arms and light weapons awareness-raising and risk education. This includes highlighting the differential impacts of small arms and light weapons on girls, boys, women and men, building the capacity of the media to appropriately report on the misuse of small arms and light weapons, and disseminating risk education and safe behaviour messages through a variety of channels, including through radio spots, talk shows and billboards.

United Nations Development Programme

[Original: English]
[13 June 2013]

In order to promote equal opportunities for the representation of women in decision-making processes in matters of disarmament, the United Nations Development Programme (UNDP) has, through the sponsorship programmes (2011-2013) for the Arms Trade Treaty conferences, provided support to 13 women from nine countries and one regional organization to participate in these decision-making processes. In addition to this, the UNDP sponsorship programme ensured female participation from two countries during the session of the Preparatory Committee for the United Nations Conference to Review Progress Made in the Implementation of the Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All Its Aspects (19-23 March 2012), as well as during the Conference (27 August-7 September 2012).

In 2012, UNDP, through its support for policy and strategy development, provided assistance to ensure the inclusion of gender dimensions into national policies and strategies on small arms control and armed violence reduction. In Burundi, for example, the Government has adopted a five-year national action plan on civilian disarmament and small arms control, which focuses on ensuring that women's needs are addressed. As part of security and arms control interventions at the community level, UNDP has ensured women's participation, through for example specific focus group discussions, in the development and implementation of projects addressing security needs. For example, in El Salvador the number of women murdered each day went down from 1.7 in 2011 to 0.9 in 2012. UNDP has contributed to this result through its support to violence reduction initiatives in more than 20 municipalities. Countries and areas where projects have been implemented include Bosnia and Herzegovina, Burundi, Côte d'Ivoire, Democratic Republic of the Congo, El Salvador, Guatemala, Honduras, Iraq, Liberia, Kenya, Nepal, Nicaragua, Papua New Guinea, Somalia, South Sudan, Sudan, Uganda and Kosovo.

United Nations Entity for Gender Equality and the Empowerment of Women[1]

[Original: English]
[5 June 2013]

Background

It is known that mostly men manufacture, sell, collect and use guns and that the majority of homicide victims are men. However, globally, the enormous majority of women who die as a result of gun violence are victims of intimate partner violence. Unfortunately, an effective policy to change this does not exist because of a lack of reliable, sex-disaggregated data to link how small arms and light weapons exacerbate gender inequality. Furthermore, basic concepts and methods for data collection and analysis lack international standards.

Threats, assault and various forms of physical and sexual violence are harder to quantify mainly because so many of these cases go unreported. In addition, victims are often undereducated about their rights and where to seek help. Furthermore, proving that a victim was threatened at gunpoint constitutes a complex legal challenge, since the prosecution needs to establish, among other things, that the suspected perpetrator was in possession of a firearm and that the firearm was operable. Even if a proper legal defence system exists, victims can rarely afford a proper lawyer.

Activities of the United Nations Entity for Gender Equality and the Empowerment of Women

In 2012 and 2013, UN-Women played a crucial role in supporting women in making their voices heard in the negotiations on the Arms Trade Treaty. In addition to helping women's civil society representatives lobby Member States to include gender-responsive language, capacity-building workshops and networking events were also organized, including an event on the theme "Women's human rights: the Arms Trade Treaty and the Convention on the Elimination of All Forms of Discrimination against Women".[5]

UN-Women also supported the fifty-seventh session of the Commission on the Status of Women, during which the Commission, in its agreed conclusions on the elimination and prevention of all forms of violence against women and girls, recognized that the illicit use of and illicit trade in small arms and light weapons aggravates violence, inter alia, against women and girls (E/2013/27-E/CN.6/2013/11).

In the end, the Arms Trade Treaty included strong provisions for gender-based violence.

Recommendations

- Through their national arms control mechanisms, Member States should ensure that all information collected is disaggregated by sex.

[5] A brief summary is available from www.peacewomen.org/assets/file/ATT/side_event-_att_and_cedaw_summary.pdf.

- Member States should also ensure that women are adequately represented in all decision-making forums related to disarmament and arms control.
- A minimum of 15 per cent of all recovery spending, including disarmament, demobilization and reintegration and community security and arms control initiatives, must be allocated to gender equality and women's empowerment.

United Nations Office on Drugs and Crime

[Original: English]
[10 June 2013]

The United Nations Office on Drugs and Crime (UNODC) mainstreams the promotion of the role of women in arms control, particularly in preventing and combating the illicit trade in firearms, through the development of holistic programmes aimed at the implementation of the Firearms Protocol. Since 2011, UNODC has been implementing its global firearms project, which comprises a wide range of activities and areas of work, such as legislative development, training and capacity-building, institutional and technical support in marking, record keeping, transfer controls and related fields, as well as strengthening the participation and oversight functions of civil society and parliamentarians, to prevent and combat the illicit trade in firearms. The project has targeted (inter alia) women criminal justice practitioners. The project also includes dedicated activities aimed at strengthening the participation and oversight function of civil society organizations and parliamentarians, where, again, the role of women is underscored. UNODC promotes the role of women through its involvement and active participation in the review and analysis of national firearms control legislation. UNODC provided the framework for women's contributions to become part of a regional legislative harmonization process by organizing two regional conferences in which both female criminal justice practitioners and civil society representatives participated and presented and defended their contributions. UNODC is developing a comprehensive firearms curriculum that includes the gender perspective as a cross-cutting issue. The planned capacity-building activities, based on the curriculum, focus on developing skills for the prevention, detection, investigation and prosecution of trafficking in firearms and target both female and male criminal justice practitioners.

UNODC organized, together with the Organization for Security and Cooperation in Europe and the Geneva Academy of International Humanitarian Law and Human Rights, an expert group meeting on promoting the application and implementation of the 1990 Basic Principles on the Use of Force and Firearms by Law Enforcement Officials in Vienna on 10 and 11 April 2013. There were 14 women among the experts, and the meeting recommended that the review of implementation of the Basic Principles also examine the need for specific guidance on the use of force with regard to women.

United Nations A/68/167

General Assembly

Distr.: General
19 July 2013

Original: English

Sixty-eighth session
Item 27 (c) of the provisional agenda*
Social development: follow-up to the International Year of Older Persons: Second World Assembly on Ageing

Follow-up to the International Year of Older Persons: Second World Assembly on Ageing

Report of the Secretary-General

Summary

The present report is submitted pursuant to General Assembly resolutions 67/143, entitled "Follow-up to the Second World Assembly on Ageing" and 67/139, entitled "Towards a comprehensive and integral international legal instrument to promote and protect the rights and dignity of older persons". The report examines three key priority areas for implementation of the Madrid International Plan of Action on Ageing, 2002, based on the global outcome of the second review and appraisal of the Plan of Action held during the fifty-first session of the Commission for Social Development: access to decent work and employment for older persons, elder abuse and violence, and older adults and mental health.

* A/68/150.

13-40251 (E) 130813

Please recycle

I. Introduction

1. The present report is submitted pursuant to General Assembly resolutions 67/143, entitled "Follow-up to the Second World Assembly on Ageing" and 67/139, entitled, "Towards a comprehensive and integral international legal instrument to promote and protect the rights and dignity of older persons".

2. The report examines three key priority areas for implementation of the Madrid International Plan of Action on Ageing, 2002[1] based on the global outcome of the second review and appraisal of the Plan of Action held during the fifty-first session of the Commission for Social Development: access to decent work and employment for older persons, elder abuse and violence, and older adults and mental health.

3. The present report was prepared prior to the fourth working session of the Open-Ended Working Group on Ageing, to be held from 12 to 15 August 2013; hence it does not include a report on the consideration of "Proposals for an international legal instrument to promote and protect the rights of older persons" as requested by the General Assembly in resolution 67/139, which is an item on the agenda of that session of the Working Group.

4. Strengthening income security, health and well-being, and the promotion and protection of the rights of older persons were among the major priority areas identified by Member States during the second review and appraisal for further action. Specific areas that required particular attention included: access to health care, non-communicable diseases, caregiving services, the training of professionals, housing and accessibility, and the prevention of violence and abuse against older persons.

5. Ensuring physical and financial access to age-appropriate health care for older persons through a variety of policy approaches has been a continuing focus for many Member States. However, the lack of health personnel trained in geriatric care has continued to be a problem in many countries, particularly developing countries.

6. Policies and programmes to address the rise in non-communicable diseases and the range of medical conditions experienced by an ageing population are already in place in most developed countries. Some developing countries, particularly those that are more advanced in their demographic transition, such as several Latin American countries, are now starting to see the need for reorientation of their public health policies.

7. Provision of, and support for, caregiving to older persons who require assistance is another policy issue that is increasingly common in both developed countries and a growing number of developing countries, particularly in Latin America and the Caribbean and parts of Asia. Many Member States have, until now, treated caregiving issues as solely a private, family function. However, changing social and economic realities, in combination with the growing number of older persons, are causing Governments to re-examine their approaches.

[1] *Report of the Second World Assembly on Ageing, Madrid, 8-12 April 2002* (United Nations publication, Sales No. E.02.IV.4), chap. I, resolution 1, annex I.

8. Programmes and policies on accessibility and housing, which are critical to "ageing in place",[2] have gained momentum over the past five years in many regions. Also noticeable is the global expansion of the World Health Organization (WHO) programme to promote aged-friendly cities since the first review and appraisal of the Madrid International Plan of Action on Ageing.

9. Enhancing the participation of older persons in the workforce has become an objective in most developed countries in the past few years. In addition, several developed countries have taken steps towards addressing the obstacles that, despite existing policy provisions and legislation, older persons continue to face in obtaining and retaining employment. In contrast, employment challenges and priorities in developing countries continue to leave little room for consideration of the situation of older persons.

10. A striking finding of the second review and appraisal was that abuse of and violence against older persons have become a serious and growing concern for Member States in all regions of the world regardless of their level of development, an issue which had received limited attention during the first review and appraisal.

11. Another significant finding was the number of Member States that have begun paying more attention to identifying and addressing barriers to the social, cultural and economic participation of older persons, as well as the various forms of discrimination faced by older persons, whether based on age alone, or age in combination with other personal attributes, such as gender, ethnicity, origin, disability or sexual identity.

12. National and regional reports showed that across the various sectors progress has again been made in the past five years, particularly in developed countries and some developing countries. However, overall progress in the implementation of the Madrid Plan of Action has lagged in many countries, with significant gaps between policy and practice as a result of insufficient funds and lack of human and political resources.

13. The present report examines policies, programmes and legislative practice regarding three specific issues identified in the regional review and appraisal processes as central to promoting the participation of older persons and their social inclusion throughout the ageing process. Section II below focuses on access to decent work and employment for older persons. Section III addresses elder abuse and violence. Section IV discusses the growing challenge of mental health issues affecting older persons. Conclusions and recommendations are presented in section V.

II. Access to decent work and employment for older persons

14. Work and employment are as important to the social integration of older persons as they are for adults of other age groups. The right of older persons to work should, therefore, be promoted and protected on an equal basis with the right to work of others.[3] In developed countries, some older people nearing retirement

[2] The Centers for Disease Control defines "ageing in place" as the ability to live in one's own home and community safely, independently and comfortably, regardless of age, income or ability level: www.cdc.gov/healthyplaces/terminology.htm.

[3] See A/67/188, sect. II.A.

age may wish to remain active by working longer and retiring later in life. Others may try to continue working into old age because their pensions, usually their only, or main, source of income, would be insufficient to cover their living expenses after retirement, or might be higher if taken later. In less developed regions, older persons may remain in the workforce for as long as they can out of necessity, to secure their livelihoods.

Labour force participation rates by sex and age group in selected regions, 2012 and change since 2000

(Percentage)

	Age 55-64		*Age 65 and over*	
Region	*2012*	*Change since 2000*	*2012*	*Change since 2000*
		Males		
Africa	79	-2	53	-3
Asia and the Pacific	78	0	39	-2
Central and South-Eastern Europe (non-European Union) and Commonwealth of Independent States	58	6	15	-1
Developed economies and Europe	67	6	16	1
Latin America and the Caribbean	78	1	38	-2
Middle East	61	-10	27	-15
		Females		
Africa	55	2	33	1
Asia and the Pacific	39	1	14	1
Central and South-Eastern Europe (non-European Union) and Commonwealth of Independent States	35	9	8	1
Developed economies and Europe	51	12	8	2
Latin America and the Caribbean	44	8	16	2
Middle East	9	1	3	-1

Source: Calculated from International Labour Organization, *Key Indicators of the Labour Market*, 7th edition, available from www.ilo.org/kilm.

15. In 2012, estimates of labour force participation rates for men aged between 55 and 64 years were highest in Africa, Asia and the Pacific, and Latin America and the Caribbean, at 78 and 79 per cent, followed by the developed economies and Europe at 67 per cent (see table 1). Male labour force participation beyond the age of 65 was significantly lower, with the highest rate, 53 per cent, being observed in Africa and the lowest rates, 16 and 15 per cent, respectively, in developed economies and Europe, and Central and South-Eastern Europe and the Commonwealth of Independent States. This variation reflects an inverse relationship between working at older ages and the proportion of older persons receiving a pension. A very large majority of older persons in developing countries have no access to a pension and, therefore, continue to participate in income-generating activities. The labour force participation of women aged 55 and over was lower than that of men in all regions

of the world. However, the discrepancy between developed and developing countries was much smaller than in the case of men, with African and European women aged between 55 and 64 years displaying fairly similar levels of economic participation: 55 and 51 per cent, respectively.

16. Member States are increasingly recognizing the economic benefits for individuals, households and society at large when older people remain in the workforce, and have been adopting measures to support and enhance their economic participation. Recent estimates have confirmed steady upward trends in the labour force participation of both male and female workers aged between 55 and 64 years in Europe, Australia, New Zealand and North America. In contrast, little change has been observed in Asian and Latin American countries, while the labour force participation rates of men aged 55 and over have dropped markedly in the Middle East.

17. In developed countries, the primary concern of Governments remains the financial sustainability of pension systems in the face of significant increases in the number of older persons and retirees, the continued lengthening of retirement due to longevity, and the shrinking share, and sometimes number, of younger adult workers. Several Member States have modified their national employment and retirement provisions to extend working life. A number of countries have adopted legislation that increases the retirement age progressively. In Denmark, for example, a law was enacted in 2011 that raises the official retirement age from 65 to 67 in the period 2019-2022, five years earlier than had been agreed upon in the 2006 Welfare Reform. Countries such as Australia, France, Greece, the Republic of Korea, Turkey and the United Kingdom of Great Britain and Northern Ireland have passed legislation to increase the pensionable age progressively for both men and women. In addition, a number of countries, such as the Czech Republic, have removed, or are planning to remove, restrictions on the concurrent receipt of a pension and income from work.

18. In less developed countries, workers who participate in the formal economy have been subject to long-established, mandatory retirement ages that are relatively low, often between 50 and 55, with different retirement ages for men and women, the retirement age for women usually being lower. Most older workers, however, are engaged in informal, rural occupations and the second review and appraisal confirmed that, by and large, older persons have continued to be excluded from access to microfinance services owing to their age, and that older women have been especially vulnerable as they often lack assets because of discriminatory property and inheritance laws.

19. Employers' negative perception of older workers has been identified historically as a major impediment to older workers' economic participation.[4] Some countries have taken steps to counter such a perception by providing financial incentives, in the form of tax breaks or credit, to employers who recruit, retrain or re-employ older workers. In France, a law was passed in 2010 which made provision for subsidies to be granted to companies hiring job seekers aged 55 or over for a period of at least six months. Several countries, such as Japan in 2008, have passed legislation, or amended existing provisions, to allow for more flexible working arrangements for older workers, such as part-time employment or flexible

[4] Organization for Economic Cooperation and Development, *Live Longer, Work Longer* (Paris, OECD Publishing, 2006).

hours. Flexible working arrangements improve the working conditions of older workers, give them greater choice of work options and allow for smoother work/retirement transitions.

20. The adoption of measures aimed at keeping older workers in the workforce seems to have led to a significant decrease in long-term unemployment among workers aged 55 and over in countries such as Austria, France and Germany. However, long-term unemployment rates for workers aged 55 and over increased between 2005 and 2012 by 7 to 25 percentage points in countries such as Ireland, Spain, Sweden and the United States of America as a result of the economic situation.[5]

21. A number of developed countries have adopted anti-age discrimination legislation that has provided older workers with protection in job seeking and retention as well as in access to training. The United States Age Discrimination in Employment Act of 1967 was an early example of such legislation. In Europe, European Union Directive 2000/78/EC established a general framework that prohibited discrimination in employment and occupation on the grounds of religion or belief, disability, age or sexual orientation.

22. The extent to which such anti-discrimination legislation has influenced national employment and judicial practices has varied among countries. A recent assessment of the transposition and application of European Union Directive 2000/78/EC undertaken by a network of civil society organizations[6] showed that, in many countries, the directive has been playing an important role in challenging the ageist views of many employers. However, the review suggested that age discrimination in the recruitment and retention of older employees not only still existed, but had worsened with the economic crisis. Moreover, it found that instances of discrimination were difficult to prove on the basis of existing national standards and that sanctions were minimal. European civil society organizations have been questioning increasingly national provisions that allow differences in treatment on the grounds of age, and existing exclusions from the general prohibition of discrimination in employment on the basis of age.

III. Elder abuse and violence

23. The 2012 second review and appraisal of the Madrid International Plan of Action showed that abuse and violence against older persons have become a growing concern for Member States in all regions, regardless of their level of development. The regional assessments carried out by the Economic and Social Commission for Asia and the Pacific (ESCAP)[7] and the Economic Commission for Africa (ECA)[8] both identified as a significant gap the low level of programmes, policies and legislation to counter neglect, abuse and violence. In the region of the Economic Commission for Europe (ECE), the prevention of abuse and violence was highlighted as a specific policy issue for focus during the next

[5] Organization for Economic Cooperation and Development review of policies to improve labour market prospects for older workers, 2012.

[6] AGE Platform Europe, Brussels, 2013.

[7] E/ESCAP/MIPAA/IGM.1/1.

[8] Available from http://www.un.org/esa/socdev/ageing/documents/Review_and_Appraisal/ECAReport.pdf.

implementation cycle.[9] In the region of the Economic Commission for Latin America and the Caribbean (ECLAC), it was noted that, while some policy, programme and legislative provisions had been adopted to address elder abuse and violence, efforts should continue.[10]

24. Limited information has been forthcoming as to the actual scope of the phenomenon of elder abuse, as well as the ways in which issues such as dependence, isolation and ageism factor into situations of abuse, and how abuse could be prevented. A series of surveys carried out in 2009 and 2010 by a consortium of non-governmental organizations and researchers in Austria, the Czech Republic, Germany, Greece, Ireland, Italy, Poland, Portugal, the Netherlands and Slovakia found that no common understanding existed within or between countries on what constituted elder abuse.[11] According to the survey report, that situation reflects both differences in cultural perceptions of what constitutes abuse, and the absence of an international framework setting out recognized forms of elder abuse.

25. Research on the extent and nature of elder maltreatment, undertaken in the context of the Abuse of Elderly in Europe (ABUEL) project — a multinational prevalence survey conducted by European Union member States in cooperation with non-governmental organizations in Germany, Greece, Italy, Lithuania, Portugal, Spain and Sweden — suggested the following prevalence rates: 19.4 per cent for mental abuse, 2.7 per cent for physical abuse, 0.7 per cent for sexual abuse and 3.8 per cent for financial abuse.[12]

26. Ageism has been identified as both a cause and a symptom of elder abuse, as well as one of the main reasons why societies have been slow to recognize, and in some cases deal with, the issue. Ageism encompasses negative perceptions, preconceived notions and negative attitudes concerning older persons that often lead to adverse outcomes. Ageist views of older persons may explain why the situation of older people is often not considered within the framework of policies and programmes to combat violence, be it in the family, against women or in the community. For example, abuse and violence directed against older women accused of witchcraft by their families and communities in a number of African, and some Asian, countries, and leniency towards perpetrators of violence, have remained largely unaddressed by public authorities.[13]

27. Awareness-raising among all actors, including the public, practitioners and older persons themselves, has been recognized as a key step in combating all forms of abuse. For example, between 2009 and 2012 the Government of Austria published three brochures that addressed key aspects of elder maltreatment. *Recognizing Violence. Questions and Answers on Violence against Older People*, issued in 2009, tackled the most prevalent forms and situations of violence towards

[9] Available from www.un.org/esa/socdev/ageing/documents/Review_and_Appraisal/ECEReport.pdf.

[10] www.un.org/esa/socdev/ageing/documents/Review_and_Appraisal/CR_Carta_ENG.pdf.

[11] European Reference Framework Online for the Prevention of Elder Abuse and Neglect, "Synopsis to the background and position paper of the European Project", available from www.preventelderabuse.eu (accessed on 10 June 2013).

[12] World Health Organization Regional Office for Europe, *European Report on Preventing Elder Maltreatment* (World Health Organization, 2011), p. 13. See also www.abuel.org.

[13] HelpAge International, "Using the law to tackle accusations of witchcraft: HelpAge International's position", available from www.helpage.org.

older persons, such as financial exploitation, restricting a person's free will, manipulation during the drafting of wills, neglect, mental cruelty and physical violence. This was followed in 2010 by *Recognizing Violence. Questions and Answers about Dementia and Violence*, dealing with the challenge that dementia represents to those suffering from the disease and those living and interacting with them. The third brochure, *Recognizing Violence. Older Persons in Institutions*, issued in 2012, addressed maltreatment in social and medical institutional settings. Similarly, in South Africa, the Department of Social Development led an awareness-raising campaign on elder abuse in 2009 and 2010.

28. The training of professional staff who work with and/or care for older persons is considered a key preventive measure. While abuse or neglect on the part of an individual or individuals is often intentional, maltreatment also arises from systemic issues, such as an insufficient number of staff in hospitals and care facilities, or a lack of recognition that the way operations are managed in an institutional setting not only constitutes abuse, but also a lack of respect for the dignity of older persons. Providing training that would help professionals and managers to become aware of both the individual and the systemic drivers of maltreatment, as well as to address elder abuse is, therefore, of critical importance. In Ireland, for example, the National Centre for the Protection of Older People has conducted training on elder abuse for thousands of personnel in the health and social care sectors.

29. As many dependent older persons continue to be cared for within a family framework, some Governments have taken measures to provide information to older persons and support to informal caregivers in order to prevent situations that could lead to abuse. The National Center on Elder Abuse of the United States Administration on Aging has issued in a number of languages a two-page information sheet entitled "Protect yourself from abuse, neglect and exploitation", with a list of dos and don'ts and help resources. A number of countries have begun giving training and support to individuals who are caregivers for their older relatives. In Japan, such training has been carried out since 2006 under the Act on Prevention of Elder Abuse, Support for Caregivers of Elderly Persons and other Related Matters. Additionally, a few countries have started offering adult day-care services, as well as subsidizing informal caregiver respite.

30. Responses to the public consultation on the promotion and protection of the human rights of older persons, organized early in 2013 by the Office of the United Nations High Commissioner for Human Rights pursuant to Human Rights Council resolution 21/23, have illustrated the variety of legal and policy approaches taken by Member States in the areas of prevention of and protection from abuse.[14] A number of countries, including Cyprus, Ghana, Malawi and Namibia, indicated that their domestic violence and family laws provided protection, although such laws often lacked an explicit reference to older persons. Other countries, such as Albania, Romania and Ukraine, have laws on social assistance but no legal protection from abuse. Malaysia amended its Domestic Violence Act in 2012 to incorporate elder abuse, and psychological and emotional injury, while Kenya has added a provision to its Constitution to protect older persons from violence. Hungary has amended its penal code to increase the penalties for abuse of older persons.

[14] See A/HRC.24/25.

31. Other countries have adopted national legislation protecting older people from violence and abuse that focuses on criminalization measures. For example, the Law of the People's Republic of China on Protection of the Rights and Interests of the Elderly, adopted in 1996, has prohibited the maltreatment of older persons and includes provisions for the criminal prosecution of family members who fail to maintain and care for older persons. In the same way, in India, the Maintenance and Welfare of Parents and Senior Citizens Act, 2007 has criminalized abandonment. In Nepal, the Senior Citizens Act of 2006 established criminal sanctions against employees of care centres or other facilities who commit elder abuse.

32. In South Africa, a focus of the Older Persons Act of 2006 was to combat elder abuse and it sets out a procedure for filing complaints concerning elder abuse. Similarly, in the United States several laws addressing the issue have been passed, including the Elder Abuse Victims Act of 2009, which established specialized elder abuse prosecution, victim aid and training for the judiciary and law enforcement officers.

IV. Older adults and mental health

33. Owing to rising life expectancy and the consequent growth in the absolute numbers of the older population, the incidence of mental health diseases that affect older persons particularly, such as dementia and Alzheimer's disease, has been increasing. Alzheimer's disease and dementia are progressive, degenerative disorders that result in loss of memory, difficulties in reasoning and communication, and behavioural and mood changes, which progressively affect the ability to participate in economic activity and to function socially. In the later stages of those diseases, older persons who suffer from them often need significant amounts of health care, intensive long-term services and personal care support.

34. Nearly 40 per cent of the population aged 85 years and older in the United States suffer from Alzheimer's disease and related dementia. Furthermore, because women live significantly longer than men, almost two thirds of Americans with Alzheimer's disease are women. Alzheimer's Disease International has estimated that dementia rates will nearly double every 20 years, from 36 million elder persons worldwide in 2010 to 115 million in 2050.[15] Currently, 58 per cent of all people with dementia live in low- and middle-income countries, a figure that could reach 71 per cent by 2050.[16]

35. The mental-health needs of older persons were identified by the international community as a crucial concern in the Madrid International Plan of Action on Ageing. WHO made dementia a priority in its 2008 Mental Health Gap Action Programme, which focused on expanding services in low- and middle-income

[15] A recent study, however, provides evidence that a cohort effect exists in dementia prevalence and that prevalence has been falling in England in the past two decades. See Fiona E. Matthews and others, "A two-decade comparison of prevalence of dementia in individuals aged 65 years and older from three geographical areas of England: results of the Cognitive Function and Ageing Study I and II", *The Lancet*, Early Online Publication, 17 July 2013.

[16] Alzheimer's Disease International, *World Alzheimer Report 2010*; The Global Economic Impact of Dementia.

countries. The Action Programme provided simple steps for professionals to identify and provide support to those suffering from dementia and their families.[17]

36. The second review and appraisal of the Madrid Plan, 2012 revealed that the mental health of older persons, while an issue of growing concern, was not a policy focus in most Member States. Several countries in the ECE region have expanded services for those suffering from Alzheimer's disease and dementia. However, ensuring access to affordable services has continued to be a challenge.[18] In the ECLAC and ESCAP regions, there has been growing awareness that mental health issues should be part of public health agendas,[19] but the development of policies and programmes has remained at an early stage. In other regions, there has been a lack of awareness of mental health issues in general, and in relation to ageing in particular, and therefore a lack of pertinent policy and programme development.

37. A number of developed countries have already established either national plans of action, for example, France, Norway and the Republic of Korea, or plans at the state level, such as Australia and the United States. Others have developed specific programmes to address particular issues, such as care support in the Netherlands.

38. Development of a national plan requires a multifaceted strategy that, in accordance with the recommendations of WHO, should include raising awareness, timely diagnosis to ensure access to drug treatments that could delay or reduce symptoms, commitment to good quality treatment, continuing care and services, caregiver support so families are able to understand the illness and learn how to support the older persons, workforce training for professionals, prevention and research.[17]

39. Raising awareness at all levels of society, and in particular among older persons themselves, is crucial in many respects. The stigma that surrounds dementia sufferers and their families often prevents early diagnosis. Alzheimer's Disease International has estimated that stigma was the main explanation for the gap between prevalence estimates and diagnosis rates, with under 50 per cent of people with dementia being formally diagnosed.[20] Fear and stigma arise from misconceptions about dementia, its causes and the probable behaviour of the person with dementia. Only with the advent of medical and drug treatments in the past 10 to 15 years has widespread discussion of dementia started. However, in many societies, persons with dementia are still hidden away, abandoned or, in some cases, accused of witchcraft.[21]

40. If placed within the context of global annual spending on mental health for the general population, which ranges from less than two dollars per patient annually in high-income countries to less than 25 cents in low-income countries, the growing prevalence rates of Alzheimer's disease and dementia clearly present a growing public-health challenge. In addition, almost half of the world's population live in countries where, on average, there is one psychiatrist to serve 200,000 or

[17] World Health Organization *Mental Health Gap Action Plan* (mhGAP), 2008. www.who.int/mental_health/mhgap/en/.

[18] E/CN.5/2013/6, para. 31.

[19] Ibid., para. 72.

[20] *World Alzheimer Report 2012; Overcoming the Stigma of Dementia*, p. 7.

[21] http://www.irinnews.org/report/93961/ghana-reintegrating-the-nation-s-witches (13 October 2011), http://www.guardian.co.uk/commentisfree/belief/2010/dec/31/ghana-witches-burned-alive-women.

more individuals. A WHO dementia survey of 30 countries, ranging from high- to low-income countries, found that legislation to protect the rights of older persons with dementia was lacking in low- and middle-income countries. Such legislation generally covers issues of legal capacity, decision-making, and protection from all types of physical and financial abuse.[22]

41. One example of such legislation is the United Kingdom Mental Capacity Act 2005, which has provided a framework to empower and protect people who need support in taking decisions. Its underlying approach has been to ensure that those who lack capacity are empowered to make as many decisions as possible, with support, if necessary, and that any decision taken on their behalf is taken in their best interest and restricts their rights and freedoms as little as possible. A Code of Practice has supported the legislation, providing guidance to all those who care for, or make decisions on behalf of, adults who lack sufficient mental capacity. The Deprivation of Liberty Safeguards form part of the Mental Capacity Act. They have been designed to protect people in care homes and hospitals from being deprived of their liberty without formal authorization. The Safeguards provide a legal representative for the person concerned, allow a right of challenge to the Court of Protection against unlawful deprivation of liberty, and allow for regular review and monitoring of individual cases. In practice, problems have arisen using the Safeguards, because of uncertainty about what constitutes "deprivation of liberty", particularly in a home-care setting and because of inconsistent approaches to using the Safeguards by different public authorities.[23]

42. The onset of Alzheimer's disease or dementia brings with it a higher risk of financial abuse, physical violence and lack of respect for the human rights, freedoms and dignity of those in treatment and receiving care. For instance, attempts to monitor and control the movement of persons with dementia have involved the use of physical and pharmaceutical drug restraint that sometimes leads to charges of physical abuse. In addition, lack of support and training for both formal and informal caregivers could easily lead to situations where abuse, even unintended, is more likely to occur.

43. In the recently adopted WHO Comprehensive Mental Health Action Plan 2013-2020,[24] Member States agreed that the provision of comprehensive, integrated and responsive mental health and social care services in community-based settings was a key objective. The Plan places emphasis on empowerment of those with mental health issues and on a rights-based approach to the development of programmes and policies, in view of the widespread violation and discrimination experienced by persons with mental disorders.

V. Conclusions and recommendations

44. The main findings of the second review and appraisal of the Madrid International Plan of Action on Ageing have shown that there is a growing

[22] World Health Organization and Alzheimer's Disease International, *Dementia: A public health priority* (WHO, 2012), table 3.3.

[23] Response of the Equality and Human Rights Commission of the United Kingdom of Great Britain and Northern Ireland to the United Nations consultation on the human rights of older persons, dated March 2013.

[24] World Health Assembly, resolution WHA66/8 of 27 May 2013, annex.

recognition of the need to acknowledge and address the social and economic exclusion, age discrimination and general ageism from which older persons suffer. Indeed, many Member States have embarked on addressing discrimination on the basis of age more systematically, with some putting forward an "age equality agenda". In doing so, those countries have been considering the adoption of guiding principles on which to base age-fair and enabling policies that would serve to identify and improve existing and future regulations, policies and practices. The most commonly mentioned principles have been equality, equity and non-discrimination, dignity, independence and personal safety, and economic security.

45. The second review and appraisal revealed significant regional differences in Member States' approaches to strengthening the protection of the human rights of older persons. In general, European countries and several other developed countries have favoured mainstreaming issues of ageing and older persons into existing legislation, while South American, Central American and several African countries have favoured the adoption of a single, specific and binding instrument dealing with older persons, as evidenced by the draft convention within the framework of the Organization of American States, and the African Union draft protocol to the African Charter of Human and People's Rights on the rights of older persons in Africa.

46. These developments result, to a significant extent, from the fact that 10 years after the adoption of the Plan of Action, prejudicial attitudes and discriminatory practices — which many have named "ageism" — on the part of individuals and institutions towards older persons have continued to undermine the role of older persons in society.

Recommendations

47. **The General Assembly may wish to recommend that Member States:**

(a) **Adopt guiding principles on which age-fair and old-age-enabling policies should be based, and review and amend systematically existing practices and regulations that are biased against older persons;**

(b) **Share their national experiences in developing and implementing policies and programmes aimed at strengthening the promotion and protection of the human rights of older persons, within the framework of the Open-ended Working Group on Ageing;**

(c) **Ensure that the social integration of older persons and the promotion and protection of their rights form an integral part of the development agenda at the national and global levels.**